

<b>Volume No. 1 - Policies &amp; Procedures</b>	<b>TOPIC NO. 50810 – Cardinal</b>
<b>Section No. 50800 Payroll Certification</b>	<b>TOPIC PRE-CERTIFICATION ACTIVITIES</b>
	<b>DATE December 2015</b>

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## Overview

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**Introduction** This topic provides guidance on the key activities agencies should perform to ensure timely and accurate payroll processing in preparation for payroll certification. Pre-certification is the phase in which agencies must verify that all data entered into CIPPS is accurate and authorized. Use this time to detect and correct any errors prior to formally authorizing (i.e., certifying) payroll disbursements.

Given the wide variation in agency staffing levels and human resource, payroll and fiscal staffing configurations, this topic does not attempt to provide step-by-step instructions governing all pre-certification activities for all agencies. Rather, it should be used as a basis for agencies to develop internal procedures, customized for each agency’s unique organizational structure and processing requirements. Agency procedures must be comprehensive, consistently applied, and incorporate the key review elements outlined in this topic.

Due to the volume of supporting documentation and the number of reports that may be received, reviewer/certifiers may incorporate statistically valid random sampling techniques in conducting pre-certification reviews.

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**View Only CIPPS Security** Payroll reviewer/certifiers are encouraged to have "Display" security for CIPPS. Some initial set-ups and certain changes are not listed on the reports. "Display" access allows certifiers to access the screen for visual verification, but make no changes to CIPPS records. See CAPP – Cardinal Topic No. 50210, *CIPPS Security*, for more information.

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**CIPPS/PMIS Compare** Certain changes to employee records affecting payroll must also be recorded in PMIS before payrolls are processed. Failure to make the necessary changes to PMIS increases the risk of improper payments and may result in a post-audit CIPPS/PMIS compare exception. This comparison of CIPPS and PMIS records is performed following each pay period. If exceptions are found, erroneous payments are discovered, or payments exceed classification limits, agencies must provide written explanations. See CAPP – Cardinal Topic 50820, *Post-Certification Activities*, for more information.

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## Pre-certification Process

### Summary

Pre-certification activities help ensure complete and accurate payroll processing. Although collecting source documents and entering data into CIPPS can be characterized as payroll processing activities, they are included here to highlight that the degree of control and care exercised over these activities during payroll processing can simplify subsequent pre-certification activities significantly. Some of the activities summarized in the following table are performed by the payroll processor and some by the reviewer and/or certifier:

<b>Activity</b>	<b>Description</b>
<b>Gather Source Documents</b>	Authorized payroll documents are collected for data entry into CIPPS. Note: Automated updates from other systems of record (PMIS, BES, Deferred Compensation, etc.) create update reports that serve as the source document.
<b>Data Entry into CIPPS</b>	Payroll processors enter data into CIPPS. Automatic CIPPS reports are produced nightly to document data entry.
<b>Edit Report 10/Scrub</b>	At any time during the data entry period, or when data entry is complete, an Edit Report 10 (sometimes known as a "scrub") may be requested. At least one Edit Report 10 must be requested prior to certification.
<b>Payroll Audit Tool (PAT)</b>	PAT reports can be used to reduce the review time by highlighting differences, summarizing data, and much more. Reference CAPP Topic 70735, CIPPS Payroll Audit Tool (PAT).
<b>Other Reports Generated</b>	Many other reports must be reviewed during the pre-certification process. Reports are generated automatically or upon request.
<b>Review of Source Documents</b>	Source documents should be verified against actual changes made to CIPPS records to ensure that authorized and accurate data entry has occurred. Note: Automated updates from other systems of record (PMIS, BES, Deferred Compensation, etc.) create error reports of changes that were not made. These errors must be reviewed and manually keyed into CIPPS.
<p><b>Note:</b> To ensure salary changes are authorized and prevent exceptions on the CIPPS/PMIS compare, agencies should include steps to verify that all salary changes requested to be entered manually into CIPPS due to timing issues and certification deadlines have already been entered in PMIS.</p>	

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## Source Documents

### Source Documents

Changes to employee masterfile records should be supported by authorized source documents of some type. Automated updates from other systems of record (PMIS, BES, Deferred Compensation, etc.) create update reports that serve as the source document. Many of the actions listed below are completed by the daily automated updates, but some still require manual data entry. Some of the more common source documents and an explanation of their purpose are:

Source Document	Purpose	Screen
P-3 – Report of Appointment or Change in Status	Basic document used to record information about salaried employees; hire/termination dates, salary increases/decreases, promotions/demotions, class codes, programmatic data, etc. Agencies may use in-house forms that contain the same information.	H0BID H0BUO HMBU1
P-3A – Personal, Faculty, and Miscellaneous Data	Used for name and address changes and other updates to an employee record.	H0BID
WE-14 Form – Wage Authorization List	Used to provide wage ranges and authorized employment levels for wage employment. Agencies may use in-house forms that contain the same information.	
W-4 and VA-4 – Employee’s Withholding Allowance Certification	Indicate the employee's tax filing status, marital status, and number of exemptions for federal and state tax withholding. State tax changes must be verified online, since state tax changes are not reflected on payroll reports.	H0ATX H0BAD
Time Sheets	Used to record time and attendance information, overtime, shift differentials, and related information used to calculate pay.	HUA03 HUB01
Court-ordered Writs	Various types issued by the courts, state and local governments, and possibly other state agencies to withhold amounts from an employee's pay.	H0901 H0ZDC
Direct Deposit Authorization	Authorization form indicating the employee’s choice to have payments electronically deposited to their banking institution.	H0ZDC H0BB1
Employee-Elected Deduction Forms	Various types used to indicate authorized benefit program deductions. Payroll processors use this information to set-up deductions. New deductions must be verified online since such changes do not change an existing record, and only changes to existing records are reflected on payroll reports.	H0ZDC HMCU1 H0901

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## Automated Update Reports

### Automated Update Reports

Automated updates from other systems of record (PMIS, BES, Deferred Compensation, etc.) create update reports that serve as the source document. **The error reports listed below should be reviewed and the transactions entered manually.**

<b>Automated Reports</b>	<b>Description</b>	<b>Screen</b>
Report U062 Deferred Comp/Cash Match Update Listing	Provides a list of Deferred Compensation and Cash Match deductions from the Third Party Administrator that updated into CIPPS successfully.	H0ZDC
Report U063 Deferred Comp/Cash Match <b>Error Report</b>	Provides a list of Deferred Compensation and Cash Match deductions from the Third Party Administrator that did not update CIPPS. These items must be reviewed and manually entered into CIPPS as appropriate.	H0ZDC
Report U080 PMIS/CIPPS Transaction <b>Error Listing</b>	Lists the new PMIS values that were not updated in CIPPS and the corresponding error message. All of the transactions listed on this report must be manually entered into CIPPS. Some actions may also require manual adjustments (e.g. retroactive) to pay and benefits.	Varied
Report U082 PMIS/CIPPS Update Listing	Lists by PMIS effective date the old and new PMIS values that were successfully updated in CIPPS. Retroactive transactions are noted and may require manual action and/or adjustments to pay and benefits.	Varied
Report U131 BES/CIPPS Update Listing	Provides a list of BES transactions for health insurance, and flexible reimbursement accounts and fees that updated into CIPPS successfully. Review and if the effective date is retroactive, manual premium adjustments may be needed.	HMCU1 HTODA HUD01
Report U130 BES/CIPPS Transaction <b>Error Listing</b>	Provides a list of BES transactions for health insurance, and flexible reimbursement accounts and fees that did not update CIPPS. These items must be reviewed and manually entered into CIPPS as appropriate.	HMCU1 HTODA HUD01
Report U147 Misc Ins/Annuity/Fee Update Listing	Lists the old and new miscellaneous insurance, annuity and fee transactions from the Third Party Vendor that updated into CIPPS successfully.	H0ZDC
Report U148 Misc Ins/Annuity/Fee <b>Error Listing</b>	Lists the old and new miscellaneous insurance, annuity and fee transactions from the Third Party Vendor that did not update CIPPS. These items must be reviewed and manually entered into CIPPS as appropriate.	H0ZDC

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## Standard Edit and Payroll Reports

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**Introduction** DOA processes pay and edit runs on a nightly basis each normal workday of the week. Separate sets of CIPPS reports are generated from each pay and edit run that provide an audit trail to assist in verifying the transactions and masterfile changes:

- Certain standard reports are generated whether agencies enter data or not.
- Additional reports are generated on nights following agency data entry.
- Other reports are generated when agencies request an edit (PYEDT) - Edit reports reflect how transactions and masterfile changes will process when pay is certified.
- Still other reports are generated when agencies certify pay (PYCTF) - Pay reports show the actual results of data entry and transaction processing.

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**Reports - Pay and Edit** Each morning agencies receive reports generated from the pay run and edit run. Most edit reports are differentiated in the top left of each report with the notation “\*\* EDIT/REPORT RUN \*\*”. Pay reports are generated prior to Edit reports because DOA processes a payrun for all agency certifications first, then processes the edit run for all agency edit requests and for those agencies still entering data.

Note: In Reportline those reports generated from the Edit run are denoted with “EDIT” after the report number in the Report ID drop down list.

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**Helpful Hints** Some reports are not cumulative in nature. For example, the New Hire Report 1013 is only generated when a new hire is added during the day prior to the night the report is generated. If several employees are added on different days during the pay period, several new hire reports are generated.

**NOTE:** Payroll reports reflect an "as of" date indicating the period end date of the period being processed. This will always reflect a period end date for the standard salaried semi-monthly payrolls. DOA changes this date the night of each salaried payday. This may be confusing if agencies enter data for the next pay period before DOA changes the date or are processing cycles other than the standard semi-monthly one. The transactions will be applied to the correct period, but the entry date assigned to each transaction and report headings will reflect the “as of” date in effect at the time of data entry.

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## Standard Edit and Payroll Reports, Continued

### Generation of Reports

CIPPS reports are generated based on whether an edit or pay certification is requested in conjunction with the type of data entry activity performed. The reports listed below are standard reports. However, agencies may elect to have other reports automatically generated or turn-off some standard reports.

<b>If...</b>	<b>And the agency enters...</b>	<b>Then these reports are generated...</b>	<b>Pay</b>	<b>Edit</b>	
No edit or certification is requested  * If applicable	No data in CIPPS	1001, Input Transaction List	X	X	
		8XX/9XX – Ad Hoc Reports*	X		
	Payroll Transactions - 700, 800, 900, Batch File Maintenances (BFMS) and Manual Pay Sets	<b>Same as above, plus:</b>			
		1007, Deleted Pending Trans.	X		
		1009, Employee Diagnostics*	X		
		1017, Updated Pending File	X		
		1012 - Company Diagnostics*	X		
	<b>And,</b>	<b>Same as above, plus:</b>			
		Masterfile changes	1006/1010, Change Listings	X	
		<b>And,</b>	<b>Same as above, plus:</b>		
New Hires	1013, New Employees Added		X		
Edit/scrub is requested  *If applicable	No data in CIPPS	10 Pre-Calc Payroll and Deduction Register		X	
		59, Gross Pay Limit Exceeded		X	
		1001, Input Transaction List	X	X	
		1003, Released Pending		X	
		1009, Employee Diagnostics*		X	
		1012, Company Diagnostics*		X	
		1017, Updated Pending File		X	
		2007, Recycled Pending File		X	
		8XX/9XX - Ad Hoc Reports*	X		
		U104, Payroll Edit/Scrub		X	
	Payroll Transactions - 700, 800, 900, BFMS and Manual Pay Sets	1004, Transaction Balance		X	
		1005, Batch Summary Report		X	
		1007 – Deleted Pending Transactions	X		
		<b>And,</b>			
		Masterfile changes	1006/1010, Change Listings	X	
		<b>And,</b>	<b>Same as above, plus:</b>		
New Hires	1013, New Employees Added		X		

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## Standard Edit and Payroll Reports, Continued

### Generation of Reports, continued

<b>If...</b>	<b>And the agency enters...</b>	<b>Then these reports are generated...</b>	<b>Pay</b>	<b>Edit</b>
Payroll certification is requested  * If applicable	No data in CIPPS	1001, Input Transaction List	X	X
		1003, Release Pending	X	
	or,  Enters Payroll Transactions - 700, 800, 900, BFMS and Manual Pay Sets	1004, Transaction Balance Sum.	X	
		1005, Batch Summary Report	X	
		1007, Deleted Pending Trans.	X	
		1009, Employee Diagnostics*	X	
		1012, Company Diagnostics & Assumptions*	X	
		1017, Updated Pending File	X	
		2007, Recycled Pending File	X	
		All payroll generated reports – 10, 15, 20, 21, 26, etc.	X	
		U102, Payroll Certification	X	
		U118, Payroll Certification Gross Pay Differences Report	X	
		8XX/9XX – Ad Hoc Reports*	X	
		All GLI generated reports – U022, U023, U033, U060	X	
		<b>Same as above, plus:</b>	X	
<b>And,</b>	1006/1010, Change Listings			
Masterfile changes	<b>Same as above, plus:</b>	X		
<b>And,</b>	1013, New Employees Added			
New Hires		X		

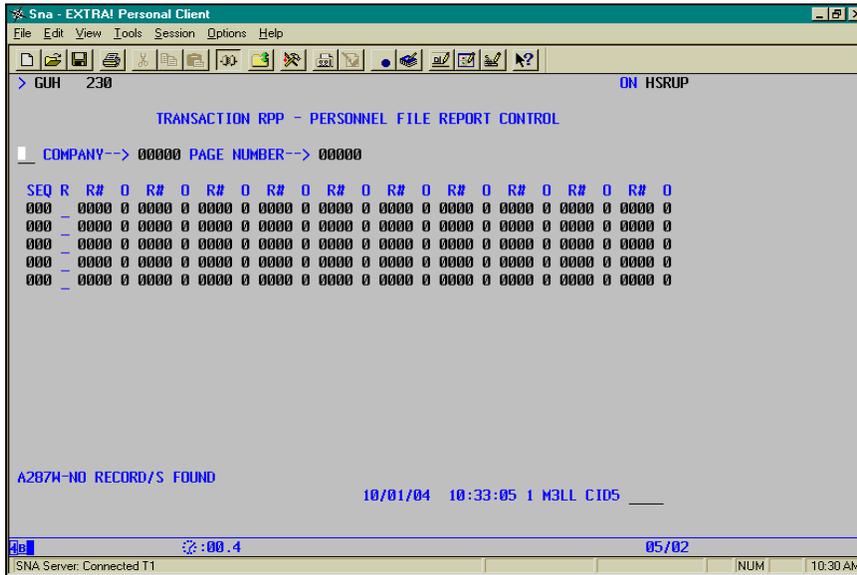
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## Ad Hoc Reports, Continued

### HSRUP Data Entry



<b>SEQ</b>	Enter '001'
<b>R</b>	Hard coded to zero.
<b>R#</b>	Enter the 4-digit report number to be produced. Ex: 0830
<b>O</b>	No entry required.

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## Reports Review Requirements

**Reports Review** Multiple reports may be generated each night, but the processors and reviewer/certifier should concentrate on the most important reports. The table below provides a description of these reports and the respective review requirements:

<b>Report</b>	<b>Description</b>	<b>Review Requirements</b>	<b>Corrective Action</b>
Edit Report 10 Payroll and Deduction Register (Pre-Calc)	Generated upon request; displays gross-to-net calculations of all payroll transactions, including deductions and benefits for individual employees.	Verify transactions are accurate, authorized and timely.	For those changes made in error, pull source document to verify the entry. Re-entry of data, masterfile changes, or Batch File Maintenance (BFM) deletion transactions may be required.
59 Gross Pay Limit Exceeded	Produced upon request for edit or pay; displays all employees whose pay will exceed a factor, generally two times, their normal salary.	Verify against supporting documentation, if any.	If payment is erroneous, make corrections as noted above.
1001 Input Transaction Listing	Produced nightly; displays each transaction that was entered into CIPPS. Batch File Maintenance (BFM) transactions will be listed here.	Verify against the 1017 to ensure the transactions have been deleted. They should not appear on the 1017 if BFM processed correctly.	N/A
1003 Released Pending Transactions Report	Produced with the Report 10; displays all transactions released from the pending file for the frequencies being edited.	Verify against supporting documentation for current and prior period transactions.	N/A

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## Reports Review Requirements, Continued

<b>Report</b>	<b>Description</b>	<b>Review Requirements</b>	<b>Corrective Action</b>
1004 Transaction Balance Report	Produced upon request for edit or pay; displays all transactions accepted for processing sorted in batch number order.	Verify batches balance. Clear errors and pending file as appropriate. Ensure all transactions entered, processed.	For transactions rejected due to error, re-enter the transaction into the original batch and re-balance. Delete the old IBC through Batch File Maintenance.
1005 Company Batch Summary	Produced upon request for edit or pay; lists all batch numbers and if they are 'in balance' or 'out of balance'.	Both 'In' and 'Out of balance' batches will process.	Determine the cause of 'out of balance' conditions and make corrections.
1006 and 1010 Change Listing	Produced whenever changes are made to existing masterfile records; displays prior value and current value. The 1006 is in employee number order. The 1010 is grouped by the field changed.	Verify all masterfile changes were authorized and entered correctly.	Correct errors when detected.
1007 Deleted Pending Transactions	Produced whenever a Batch File Maintenance is keyed and the transaction is successfully deleted from the pending file.	Verify the reason for the deletion processed correctly and that it is accurate and authorized.	Re-key the Batch File Maintenance transaction if not processed correctly. Re-key the transaction if it was deleted in error.

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## Reports Review Requirements, Continued

<b>Report</b>	<b>Description</b>	<b>Review Requirements</b>	<b>Corrective Action</b>
1009 Employee Diagnostic Report	Produced when payroll transactions cannot process as entered. When produced with an Edit Report 10, lists employees who are not receiving pay. Review in conjunction with 1017 to determine if re-entry of data is required.	Facilitates error correction, causes and resolution. Validate employees not receiving pay. Reasonableness check on error volume.	Correct errors, make masterfile changes for transactions added back to pending, and delete transactions where needed.
1012 Company Diagnostics and Assumption Listing	Produced nightly; displays any company level transactions entered that were not processed due to an error.	Facilitates error correction, causes and resolution. Reasonableness check on error volume.	Errors listed are typically related to a report request (HSRUT/HSRUP); batch balancing, or the CTL request on the PYEDT or PYCTF.
1013 New Employee Added	Automatically generated when new employees are added; displays all newly hired employees for the period.	Verify supporting documentation for all names listed.	Correct errors when detected.
1017 Updated Pending File	Produced automatically when batch transactions are added to the pending file, either through direct input or the payroll process; displays entry date, sequence number, employee number, type of transaction, and data entry operator associated with the transaction.	Verify all transactions are valid and that transactions with an entry date prior to the ending date of the current period are appropriate.	Use this report to obtain the correct entry date and seq. # that is used in the Batch File Maintenance process.
U104 Payroll Edit/Scrub Report	Produced when the edit is requested; displays pay frequencies and other associated information entered on the CIPPS Payroll Edit/Scrub screen (PYEDT).	Verify that a request for an edit was submitted for processing.	N/A

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## ***Payroll Audit Tool (PAT)***

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### **PAT**

The Payroll Audit Tool (PAT) is a web-based application that facilitates the review and comparison of key payroll and leave information. The “Pre-Cert Report” category contains reports that are particularly useful during the pre-certification process. Reports in this category are the Summary Report 10, Salary & Regular Pay compare, Report 10 Employee Totals, Special Pays Listing, Deduction Amount Change Comparison, State and Federal Tax Withholding Comparison, and the Rate Amount Change Compare. See CAPP Topic No. 70735, Payroll Audit Tool, for more information.

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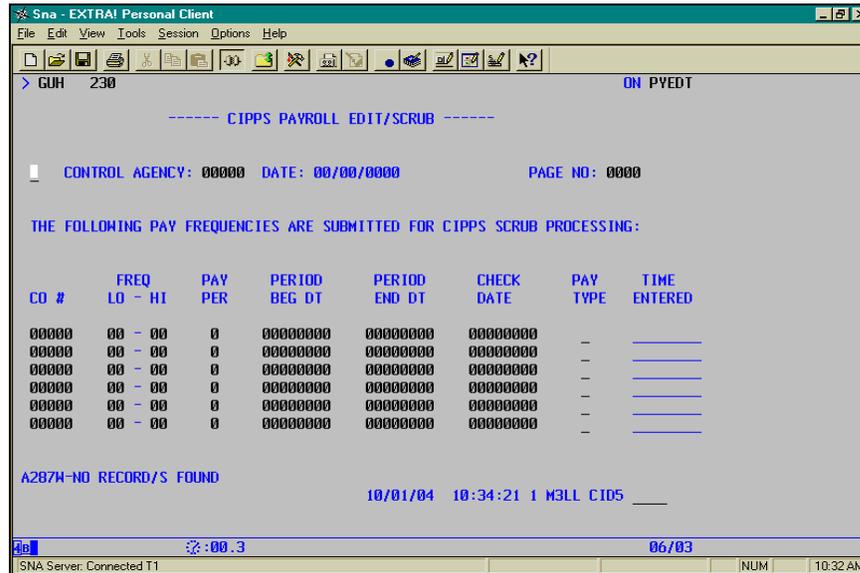
## Requesting an Edit

### Introduction

An edit allows agencies to view the payroll calculation prior to the actual payment authorization. The edit, sometimes called the pre-calc or "scrub", lists each employee to be paid and the gross-to-net calculations, including all taxes and deductions to be taken. At least one edit must be processed prior to certifying payroll each pay period. Edits are requested on PYEDT.

### CIPPS Edit - PYEDT

Access PYEDT using routine CIPPS navigation:



#### **CONTROL AGENCY**

Enter the control agency number preceded by 2 zeros.

#### **PAGE NUMBER**

Enter the page number as applicable to this unique batch, starting with page 0001.

#### **CO #**

Enter the agency number to be edited, preceded by 2 zeros.

#### **PAY FREQ**

Enter the payroll frequency to be edited.

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## Requesting an Edit, Continued

**PAY PER** Indicates the pay period of the month to process.

Values	Use this value if you are paying the...
<b>1</b>	First pay period of the month or a monthly frequency.
<b>2</b>	Second pay period of the month.
<b>3</b>	Third pay period of the month.
<b>4</b>	Fourth pay period of the month.
<b>0</b>	Odd pay periods that occur every 3 months for weekly payrolls, every 6 months for bi-weekly payrolls.

**NOTE:** For standard semimonthly classified payrolls, "1" should be entered for the 25<sup>th</sup> through 9<sup>th</sup> payroll and a "2" for the 10<sup>th</sup> through 24<sup>th</sup> payroll.

**PERIOD BEG DT** Enter the eight (8)-position beginning date of the period in the MMDDYYYY format. The BEG DT should reflect the first day of the pay period.

**NOTE:** For the standard semimonthly classified payroll, the period begin date, period end date and corresponding check dates are announced in the DOA Payroll Bulletin at calendar year end.

**PERIOD END DT** Enter the eight (8)-position ending date of the period in the MMDDYYYY format. The END DT should reflect the last day of the period.

If the Pay Frequency Is	Then the number of days between the Period Begin and End Date cannot be more than
01-31	7 Days
40-69	14 Days
70-89	16 Days
90-98	31 Days

**NOTE:** An edit on the Period Begin Date and Period End Date ensures that the number of days between the two dates cannot be more than the corresponding number of days based upon the frequency entered.

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## Requesting an Edit, Continued

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**CK DATE** Enter the eight (8)-position date of the payment to be issued. The system edits for date validity, and that the check date entered is at least **two** banking days from the entry date.

**NOTE:** An edit is performed for the standard semimonthly classified payroll frequencies comparing the check date entered to that which is established as the expected check date. This is a warning message only.

**PAY TYP** Enter the type of payroll being processed.

VALUE	DESCRIPTION
3	Process all regular payrolls.
9	Process special payrolls only.

**TIME ENTERED** No data entry is required. System generates this information

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## Internal Control

### Internal Control

Agencies must have policies and procedures governing the certification process. Agencies should have a primary certifier and a back-up in case the primary certifier is not available. Steps should be taken to ensure that unauthorized personnel do not breach certification security.

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## Records Retention

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**Time Period** All certification packages should be retained until the year has been audited by the Auditor of Public Accounts. All other reports should be retained for 60 days. Agency policy and procedures determine the retention of the related agency source documents/records. Please see CAPP – Cardinal Topic No. 21005, *Records Retention and Disposition*.

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## Contacts

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**DOA Contact** Director, State Payroll Operations  
Voice: (804) 225-2245  
E-mail: [Payroll@doa.virginia.gov](mailto:Payroll@doa.virginia.gov)

Payroll Support Analyst/Trainer  
Voice: (804) 786-1083  
E-mail: [Payroll@doa.virginia.gov](mailto:Payroll@doa.virginia.gov)

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## Subject Cross References

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**References** CAPP – Cardinal Topic No. 21005, *Records Retention and Dispositions*  
CAPP – Cardinal Topic No. 50210, *CIPPS User Security*  
CAPP – Cardinal Topic No. 50820, *Post Certification Activities*  
CAPP Topic No. 70735, *CIPPS Payroll Audit Tool (PAT)*

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<b>Volume No. 1 - Policies &amp; Procedures</b>	<b>TOPIC NO. 50810 – Cardinal</b>
<b>Section No. 50800 Payroll Certification</b>	<b>TOPIC PRE-CERTIFICATION ACTIVITIES</b>
	<b>DATE December 2015</b>

## CARS to Cardinal Transition

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### Cardinal Transition

CIPPS interfaces to both CARS and Cardinal. No additional action needs to be taken by agencies in order to record CIPPS entries. After CARS has been decommissioned, agencies will no longer use NSSA to establish programmatic data in CIPPS. Instructions on how to load this information to CIPPS will be distributed at a later time.

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