Table of Contents

Overview....2
Introduction....2
View Only CIPPS Security....2
CIPPS/PMIS Compare....2
Summary....3
Source Documents....4
Standard Edit and Payroll Reports....5
Introduction....5
Reports - Pay Packs and Edit Packs....5
Helpful Hints....5
Generation of Reports....6
Ad Hoc Reports....7
Ad Hoc Reports....7
HSRPT Data Entry....8
Reports Review Requirements....10
Reports Review....10
Requesting an Edit....13
Introduction....13
CIPPS Edit - PYEDT....14
Internal Control....15
Internal Control....15
Records Retention....16
Time Period....16
Contacts....16
DOA Contact....16
References....16

Overview

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.

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 Topic No. 50210, *CIPPS Security*, for more information.

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 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:

Activity	Description
Gather Source Documents	Authorized payroll documents are collected for data entry into CIPPS.
Data Entry into CIPPS	Payroll processors enter data into CIPPS. Automatic CIPPS reports are produced nightly to document data entry.
Edit Report 10/Scrub	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.
Other Reports Generated	Many other reports must be reviewed during the pre-certification process. Reports are generated automatically or upon request.
Review of Source Documents	Source documents should be verified against actual changes made to CIPPS records to ensure that authorized and accurate data entry has occurred.

Note: In order to ensure salary/wage changes are authorized and prevent exceptions on the CIPPS/PMIS compare, agencies should include steps to verify that all salary/wage changes entered in CIPPS have already been entered in PMIS.

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Source Documents

Source Documents

Changes to employee masterfile records should be supported by authorized documents of some type. These documents are commonly referred to as source documents. Some of the more common source documents and an explanation of their purpose are discussed below:

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 instructing the processor 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 H0401

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Standard Edit and Payroll Reports

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.

Reports - Pay Packs and Edit Packs

Each morning agencies receive two sets of reports. One set of reports is generated from the pay run (Pay Pack); another set is generated from the edit run (Edit Pack). Pay Pack reports are generated prior to Edit Pack reports because DOA processes a payrun for all agency certifications first, then processes a edit run for all agency edit requests and for those agencies still entering data.

The Pay and Edit Pack reports can be distinguished by the report run time (i.e., date/time printed in the upper right corner of each report). Since the pay run is processed first, Pay Pack reports have an earlier run time than Edit Pack reports.

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 the semi-monthly payrolls. DOA changes this date the night of each payday**.** This may be confusing if agencies enter data for the next pay period before DOA changes the date. The transactions will be applied to the next period, but the entry date assigned to each transaction and report headings will reflect a prior period “as of” date.

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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.

If…	And the agency enters…	Then these reports are generated…	Pay Pack	Edit Pack
No edit or certification is requested * If applicable	No data in CIPPS	1001, Input Transaction List	X	X
		RDMS Manifest	X	X
		8XX – Ad Hoc Reports*	X	
	Payroll Transactions - 700, 800, 900, Batch File Maintenances (BFMS) and Manual Pay Sets	**Same as above, plus:**		
		1007, Deleted Pending Trans.	X	
		1009, Employee Diagnostics*	X	
		1017, Updated Pending File	X	
		1012 - Company Diagnostics*	X	
		1019, Millennium Online Processing Summary	X	
	And,	**Same as above, plus:**		
	Masterfile changes	1006/1010, Change Listings	X	
	And,	**Same as above, plus:**		
	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
		RDMS Manifest	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 - 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	
	And,	**Same as above, plus:**		
	Masterfile changes	1006/1010, Change Listings	X	
	And.	**Same as above, plus:**	X	
	New Hires	1013, New Employees Added	X	

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Standard Edit and Payroll Reports, Continued

Generation of Reports, continued

If…	And the agency enters…	Then these reports are generated…	Pay Pack	Edit Pack
Payroll certification is requested * If applicable	No data in CIPPS or, Enters Payroll Transactions - 700, 800, 900, BFMS and Manual Pay Sets	1001, Input Transaction List	X	X
		RDMS Manifest	X	X
		1003, Release Pending	X	
		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 – Ad Hoc Reports*	X	
		All GLI generated reports – U022, U023, U033, U060	X	
		Same as above, plus:	X	
	And,	1006/1010, Change Listings		
	Masterfile changes	**Same as above, plus:**	X	
	And,	1013, New Employees Added		
	New Hires		X	

Ad Hoc Reports

Ad Hoc Reports

Ad Hoc reports provide agencies with additional payroll information that is beneficial in ensuring the accuracy of payrolls. Agencies may request these reports in addition to the standard payroll reports generated during the pay and edit processes. Some of the reports can be run each time an edit or pay is processed, or they can be run upon request.

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Ad Hoc Reports, Continued

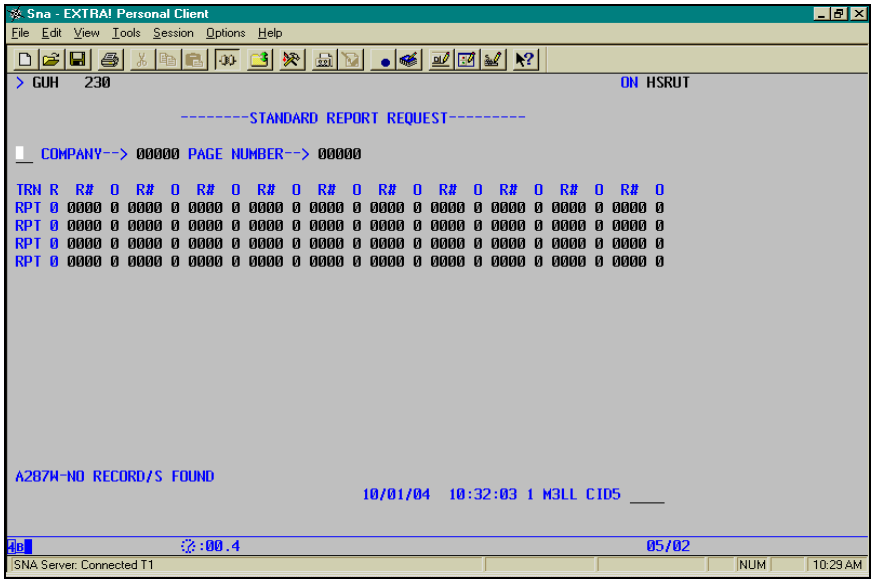
Ad Hoc Reports, continued

Ad hoc reports are identified with the characters “8XX” or "9XX" where the XX denotes the individual report number requested. Contact the Payroll Production unit in DOA to have an Ad Hoc report automatically generated with each payrun processed.

Ad Hoc reports are produced from information stored in the Employee Masterfile. To request these reports access HSRUT and HSRUP using standard CIPPS navigation.

NOTE: These screens may only be used by agencies with remote print capability. If this is not available, contact the Payroll Production unit.

HSRUT Data Entry



R	Hard coded to zero.
R#	Enter the 4-digit report number to be produced and press the enter key. Ex: 0830
O	No entry required.

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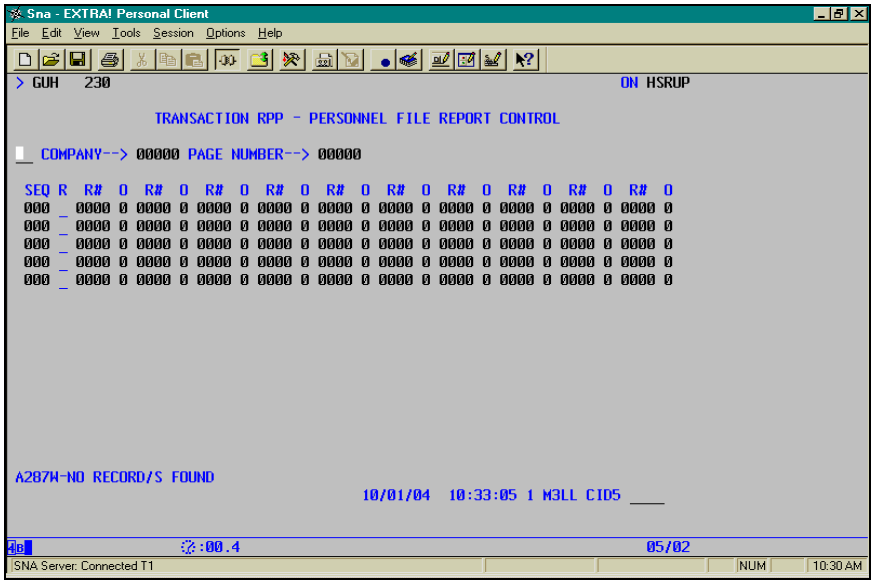
Ad Hoc Reports, Continued

HSRUP Data Entry



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

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:

Report	Description	Review Requirements	Corrective Action
RDMS Manifest	Produced daily; lists all reports generated during nightly processing.	Verify that all reports have been received and used in the pre-certification process.	Contact Payroll Production to have missing reports reproduced.
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 Transactions may be required.
Report 1006 Change Listing	Produced whenever changes are made to existing masterfile records; displays prior value and current value in employee number order.	Verify all masterfile changes were authorized and entered correctly. Verify the addition of new records and any State tax changes online.	Correct errors when detected.

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Reports Review Requirements, Continued

Reports Review (continued)

Report	Description	Review Requirements	Corrective Action
Report 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.
Report 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.
Report 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.

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Reports Review Requirements, Continued

Reports Review (continued)

Report	Description	Review Requirements	Corrective Action
Report 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.
Report 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.
Report 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.
Report 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

Reports Review, continued

Report	Description	Review Requirements	Corrective Action
Report 1001 Input Transaction Listing	Produced nightly; displays each transaction that was entered into CIPPS. BFMs 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
Report 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

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.

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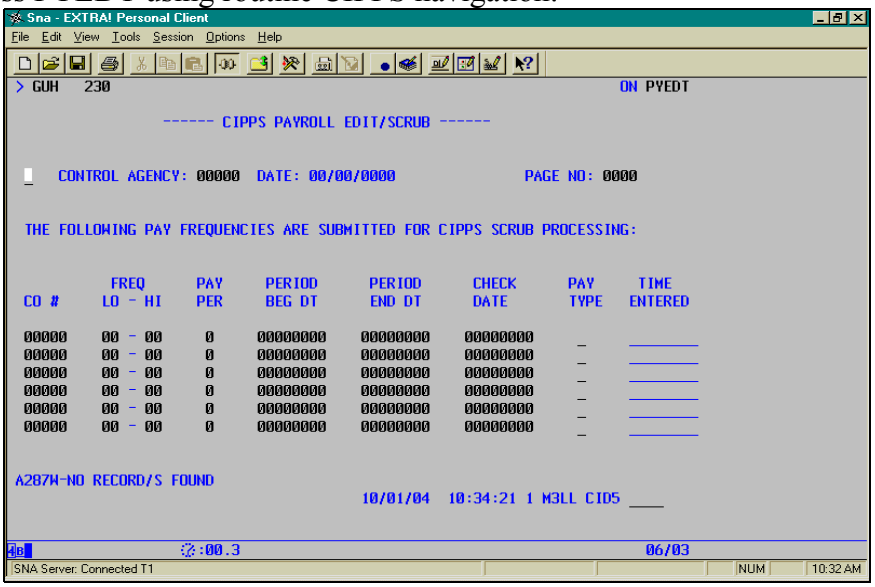
Requesting an Edit, Continued

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 no. to be edited, preceded by 2 zeros.

PAY FREQ Enter the payroll frequency to be edited.

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

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

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Requesting an Edit, Continued

CIPPS Edit – PYEDT, continued

NOTE: For semimonthly classified payrolls, a value of "1" should be entered for the 25th through 9th payroll and a "2" for the 10th through 24th 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.

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.

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.

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

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.

Records Retention

Time Period

The **Input Transaction Listing, Report 1001,** and the **Transaction Batch Balance Summary, Report 1005,** must be retained for 60 days. All other reports should be retained for five (5) years or until audited, whichever is later. Agency policy and procedures determine the retention of the related agency source documents/records. See CAPP Topic No. 21005, *Records Retention and Dispositions*.

Contacts

DOA Contact

Manager, State Payroll Operations
Voice: (804) 225-2245
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Payroll Business Analyst/Trainer
Voice: (804) 225-3079 or (804) 225-3120
E-mail: Payroll @doa.virginia.gov

Subject Cross References

References

CAPP Topic No. 21005, *Records Retention and Dispositions*
CAPP Topic No. 50210, *CIPPS User Security*
CAPP Topic No. 50820, *Post Certification Activities*