



RELEASE - PART 3-0600 Compensation Payments, FEDERAL
(EEOICPA) PROCEDURE MANUAL

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EXPLANATION OF MATERIAL TRANSMITTED:

This material is issued as procedural guidance to be included in the Federal (EEOICPA) Procedure Manual. This material is to be placed in the new Unified PM binder and is intended to stand as policy guidance for both Parts of the EEOICPA.

- This material provides instructions to claims staff in the district offices and FAB on processing compensation payments, and defines the roles of the various staff involved in the payment process.

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FILING INSTRUCTIONS:

File this transmittal behind Part 2 in the front of the new Unified Federal (EEOICPA) Procedure Manual.

Distribution: List No. 3: All DEEOIC Employees
List No. 6: Regional Directors, District
Directors, Assistant District Directors,
National Office Staff, and Resource Center
Staff.

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SUPERSEDED

Part 3 - Fiscal

Compensation Payments

1. Purpose and Scope. This chapter describes the policies and procedures to be used in the processing of compensation payments, and defines the roles of the various personnel in the District Office (DO) and the Final Adjudication Branch (FAB) who are involved in the compensation payment process. At the discretion of the District Director (DD), the procedures outlined below may vary in terms of sequence or assigned roles.

2. Responsibilities. When a final decision is issued awarding lump-sum compensation, the FAB Claims Examiner (CE) or Hearing Representative (HR), the District Office CE, Senior Claims Examiner (SrCE) or Supervisory CE (SCE), Fiscal Officer (FO), and DD all ensure that the payment is processed in a timely manner. The role of SCE may be designated as an alternate to the SrCE, at the discretion of the DD. The payment process begins at the FAB office, and continues at the DO, upon return of the Form EN-20. Signatures from each of the DO individuals above, provides for a separation of functions.

3. Form EN-20. Upon issuing a final decision advising a claimant of an award of compensation, FAB enters the Acceptance of Payment (AOP) Amount and the AOP Sent Date (the date the decision was issued and mailed) into ECMS. In conjunction with the final decision, the CE prepares and mails the Form EE-20 (award letter), accompanied by Form EN-20 (the acceptance form), to the claimant for completion.

a. Routing. Upon receipt of the completed Form EN-20 at the DO, the completed form is date-stamped (AOP Received Date) in the mail room. Mail room staff match the EN-20 with the case file, update ECMS to show the file location, and deliver the case file and EN-20 to either the FO or the Payee Change Assistant (PCA), depending upon established procedures within that DO. The mail room updates ECMS to record the file location at the time of transfer.

b. FO Review. The FO reviews the EN-20 and the associated payment information in the case file. Once the FO has determined that all information on Form EN-20 is correct, the record has been reviewed, and the payment is ready for processing by the CE or the PCA, the FO delivers the case file with Form EN-20 to the

3. Form EN-20. (Continued)

responsible CE or PCA, and changes the location of the file in the ECMS. (At the discretion of the DD, this process may be reversed, with the PCA performing data entry prior to FO review.)

c. Facsimile and Photocopies. Facsimile copies of Form EN-20 will not be accepted for processing of ECMS payments. However, a photocopy of the EN-20 may be accepted, as long as the copy bears the claimant's original signature.

d. EN-20 Signed by Power of Attorney (POA). If, upon review, the PCA or FO notes that the EN-20 has been signed by a POA, the AOP Received Date is completed in ECMS and the file is returned to the FO (or to the responsible CE) for review of the documents and POA signature. The DD has discretionary authority to assign this task to the FO, or to the responsible CE assigned to the file.

The FO/CE reviews the file to determine that a POA document has been received, and if so, makes copies of that document, along with Form EN-20, and writes a brief cover memo. The FO/CE sends the memo, the EN-20 and the POA documents (via facsimile) to the National Office (NO) Policy Branch. The Policy Branch is responsible for routing all POA requests to the Office of the Solicitor for review and response. Responses from the Office of the Solicitor are forwarded directly to the requesting DO. At the time of referral to the Policy Branch, the FO/CE enters a call-up in ECMS for seven days. The Policy Branch acts as the NO point-of-contact for any follow-up inquiries from the DO.

Upon receipt of the Office of the Solicitor's determination, the FO/CE proceeds as follows:

- (1) If the Solicitor's Office approves the POA, normal processing of the payment continues.
- (2) If the Solicitor's Office determines that the POA is invalid, the CE sends a letter to the claimant, with a copy to the holder of the POA,

3. Form EN-20. (Continued)

advising that the Office of the Solicitor has determined the POA to be invalid, and stating the reason why. A copy of the Office of the Solicitor's opinion is not sent to the claimant or the holder of the POA. At this time the "AOP received date" is removed. Upon receipt of a valid POA, the "AOP received date" is then re-entered.

4. Electronic Funds Transfer.

a. Data Entry. If the claimant requests electronic funds transfer (EFT), the PCA enters the following items in the ECMS payment screen:

(1) AOP received date (i.e., date the EN-20 was date-stamped as received at the DO).

(2) Information pertaining to the recipient's Financial Institution (bank or credit union).

(a) Address (No Post Office Boxes allowed).

(b) Zip Code.

(c) State.

(d) Country (USA only - no foreign banks).

(e) ACH (Federal Reserve Bank) Routing Number, which can be verified at:
<http://www.fedwiredirectory.frb.org/>).

(f) Recipient's account number.

(g) Type of account: Checking or Savings. (Payments may also be made to money market accounts, as long as no third party routing system is involved and the account type can be classified as checking or savings.)

(h) Telephone number.

(3) Names listed on Form EN-20 for all account

4. Electronic Funds Transfer. (Continued)

holders.

b. PCA Verification. After completing these entries, the PCA verifies that the information entered is correct and prints out a copy of the input screen. The PCA initials the screen print and returns it, along with the file, to either the FO or the CE for continued processing of the payment. The file location is updated in ECMS.

c. Verification with Financial Institution. The FO, (or at the discretion of the DD, the PCA) calls the financial institution and verifies the routing number, account number, and account type. All phone calls and the information obtained is documented in ECMS. (Note: It is extremely important to verify the routing number on the EN-20 for ACH transactions. Most rejected funds transfers result from either wrong account numbers, or wrong routing numbers on the EN-20).

d. FO Review. It is the FO's responsibility to review and verify the following information in the case file and on the payment documents:

- (1) Correct file number on Form EN-20 header.
- (2) Correct payee name on Form EN-20 header.
- (3) Correct payee Social Security Number on Form EN-20 header.
- (4) Payment Amount on Payment Transaction Form (PTF), matching the amount on the EN-20.
- (5) EFT or paper check is selected on Form EN-20.
- (6) If EFT is selected, the "type account" block is checked ("C" for checking, "S" for savings) and the routing number and account number are listed correctly, with no trace-overs or corrections.
- (7) Form EN-20 is signed and dated (if the holder of a POA signs the form, see POA process above).

4. Electronic Funds Transfer. (Continued)

(8) Phone number for the financial institution is correct and matches the number in ECMS.

(9) Address in ECMS is correct and matches the address in the paper file.

e. International Payments.

(1) Electronic Funds Transfer (EFT). Because international EFTs are not part of the U.S. Treasury/bank routing system, EEOICPA payments can only be made to U.S. banks that participate in the Treasury Department's ACH network. (See Federal Reserve E-Payments Routing Directory website at <http://www.fedwiredirectory.frb.org/> for a list of ACH and FedWire participants.) A claimant living outside of the U.S. can open a bank account with a U.S. bank and arrange for withdrawal or transfer of funds, once payment has been made.

(2) Checks. When preparing a payment request in ECMS, for a check to be mailed outside the U.S., the entire mailing address must be entered on the three address lines provided on the payment screen. It is also necessary to enter 5 zeros in the Zip Code field, and Xs in the City and State fields.

5. Paper Check. After completion of the FO review, requests for payment by check are routed directly to the CE, who reviews the claimant's address as reported on Form EN-20, and verifies this address against case file documents, change of address requests in the case file, and the current address displayed in ECMS.

If the claimant provides a different address on Form EN-20 from the current address of record, the CE contacts the claimant via telephone to verify if the change of address is permanent, or if it is a temporary payment address only.

a. Permanent Change. If the payment address on the EN-20 is a permanent change of address, the CE instructs the claimant to submit a separate signed

5. Paper Check. (Continued)

letter requesting a permanent change of address. The CE documents the telephone call in ECMS, then proceeds with payment processing using the address provided on the EN-20.

b. Temporary Change. If the payment address is a temporary address for that payment only, the CE verifies the address provided on the EN-20 through a telephone call to the payee, advises the payee that the address will only be used as a temporary address for that payment, and documents the telephone call in ECMS. The CE then proceeds with processing of the payment. (See Step 6 below for additional instructions on noting the ECMS Payment Screen when using a Payment Address Only.)

6. Payment Setup and Payment "CREATION" by the CE. Upon receipt of the EN-20 for processing, the PCA enters the AOP received date on the payee screen in ECMS. The CE verifies the AOP amount on the ECMS payee screen matches the payment amount on the signed EN-20. The CE also generates a Payment Transaction Form, or PTF (see Exhibit 1) for each Part B or Part E payment. Part B and E payments cannot be combined on one PTF. The PTF cannot contain any cross-outs, white-outs, alterations, or erasures.

A separate PTF must be completed for each payee, and each payee's Social Security number must be entered on the PTF.

Upon entry of the AOP received date and completion of the PTF, the CE creates the compensation transaction in ECMS. The CE selects "Compensation" from the main menu at the top of the screen, followed by "Create Compensation Transaction" from the corresponding drop down menu. The CE then enters the employee and payee SSN and pushes the "Search" button. The employee and payee information should appear on the "Add Payment Transaction" screen.

The CE highlights the desired AOP record and selects "Create Payment." When the "Create Payment" button is clicked, the system requires the CE to confirm the allocation amounts by entering the amounts for impairment, wage-loss, and lump sum, and then clicking "OK." The CE is then routed to

6. Payment Setup and Payment "CREATION" by the CE.
(Continued)

the compensation screen, where he or she will have the option of selecting an EFT payment or a paper check. For an EFT, the CE proceeds with entering the routing number, account number, account type, and payment amount. For a paper check, the CE enters only the payment amount. If the payee has requested a check be sent to a "Payment Address Only" on the EN-20, the CE must check the box labeled "Payment Only Address" in the Payee Address section of the payment screen. Otherwise, this box is left unchecked. The CE then "Saves" the record on the compensation screen.

This completes Step 1, "Creation" of the payment. Upon completion, the CE signs and dates the PTF and transfers the case to the SrCE/SCE for continued processing.

a. Differing Allocation Amounts. If the allocation amounts do not match the amounts entered by the FAB CE/HR, an error message will appear stating: "The allocation amounts entered do not match the AOP allocation." If this occurs, the CE checks the amounts entered, for accuracy. If it is determined that FAB has entered an incorrect amount, the case file is returned to the FAB office, accompanied by a case transfer sheet, requesting correction of the allocation error. The FAB CE/HR treats a request for correction of AOP information as a high-priority task. ECMS allows the FAB CE/HR to change the allocation amounts in the impairment, wage-loss, and lump sum fields at any time prior to the creation of the payment. After the payment has been created, the FAB CE/HR has the ability to redistribute the allocation amounts, as long as the total AOP amount for the payment does not change. After the requested corrections are made, the case file is immediately transferred back to the DO, and the CE then completes the payment process.

b. Payment Limits. The ECMS system will reject payments keyed for more than: \$150,000 on a non-RECA Part B case; \$50,000 on a RECA Part B case; and \$250,000 on a Part E case. (ECMS does not count cancelled payments in these cumulative totals.)

6. Payment Setup and Payment "CREATION" by the CE.
(Continued)

c. Minor Child. If payment for a minor child is to be made through EFT, the funds are deposited into the parent's or legal guardian's bank account. If payment is by paper check, the check is made out in care of the parent or legal guardian. For example, the address field would be keyed in ECMS as follows:

Marian Smith
For John Smith, Jr.

7. Payment "CERTIFICATION" BY THE SrCE or SCE. The SrCE or SCE reviews the electronic record, ensuring that the payment information from the EN-20 has been input correctly, that the PTF has been completed correctly, and that the PTF matches the electronic record. The SrCE/SCE then signs and dates the PTF in the certification section and completes Step 2, "Certification" in the ECMS payment screen. Once certified, the SrCE/SCE updates the case file location in ECMS, and delivers the file to the FO for continued processing.

When the payment is certified, ECMS automatically locks the record so that no changes can be made. If an error is detected by the SrCE/SCE, prior to his/her certification, the SrCE/SCE selects the "REJECT" option which erases the payment creation and returns the case to the CE, in ECMS.

If an error is discovered after certification by the SrCE/SCE, only the Chief of Operations, FO, Assistant DD, or DD can unlock the record.

Unlocking the payment record erases the electronic signature and date for the "Creation" and "Certification" status blocks, and returns the payment record to the CE, in ECMS. The certifier returns the case file and the PTF to the CE. The CE corrects the payment record by modifying the payment. This can be done by selecting the 'Update Compensation' menu option in ECMS and making the necessary changes. After errors are corrected, the process begins again with creation of the payment.

8. Payment "VERIFICATION" by the FO. Upon receipt of the

8. Payment "VERIFICATION" by the FO. (Continued)

certified PTF, the FO reviews the electronic record, the EN-20 and the PTF to ensure that all payment information is correct on the fiscal documents and in ECMS. If all information is correct, the FO completes Step 3, "Verification" on the ECMS payment screen, and signs and dates the PTF in the verification blocks. The FO then updates the case file location in ECMS and delivers the case file to the DD (or designated alternate), for final authorization.

If an error is detected after the payment is verified, only the FO, Chief of Operations, Assistant DD, or DD can unlock the record. Unlocking the payment record erases the electronic signature and date for the "Creation", "Certification", and "Verification" status blocks on the compensation screen and the payment record is returned to the CE in ECMS. The CE corrects the payment record by modifying the payment. This can be done by selecting the 'Update Compensation' menu option in ECMS and making the necessary changes.

9. Payment "AUTHORIZATION" by the DD. Upon receipt of the PTF and the case file, the DD (or designated alternate) reviews the file documents to ensure that the PTF is accurate and complete. If so, the DD completes Step 4, "Authorization" on the ECMS payment screen. The DD signs and dates the PTF, and updates the file location in ECMS, and returns the case file to the FO.

If an error is detected after the payment is authorized, but before it is transmitted to the Department of the Treasury, only the DD (or designated alternate) can unlock the record from its authorized status. If unlocked by the DD, the electronic signature and dates are erased for the "Creation," "Certification," "Verification," and "Authorization" status blocks on the compensation screen, and the electronic record is automatically returned to the CE. The DD returns the case file and the PTF to the CE for corrective action. After taking corrective action, the CE starts the payment process over again, using a new PTF Form, if required. The CE corrects the payment record by modifying the payment. This can be done by selecting the 'Update Compensation' menu option in ECMS and making the necessary

9. Payment "AUTHORIZATION" by the DD. (Continued)

changes.

At any time during the payment process, if an error is discovered which requires a change in the PTF, the person canceling the transaction completes the "Transaction Cancelled" section at the bottom of the PTF, indicating the reason for the cancellation. The certifier and authorizer do not correct the PTF or the on-line data, but instead, return the file and the PTF to the CE for corrections and to start the payment process over again.

10. Payment Reports. Once the CE, the SrCE/SCE, the FO, and the DD have signed the PTF and the file has been returned to the FO, the PTF is copied. Each week, usually by close of business Thursday, the NO will batch and forward all payments that have been approved in the electronic file system for processing. A weekly report is generated by the FO and forwarded to the NO which lists the payments by Part (B or E) and by payment mode (EFT or paper check) which have been approved for that weekly payment cycle.

Once the report has been forwarded, the FO places a copy of the completed PTF in the file and reassigns the file to the proper location. The FO then runs the ECMS reports, which generate an automated copy of the PTF form for each payment approved that cycle. The two PTFs (computer-generated and signed original) are collated and placed in a locked file cabinet. These documents are filed chronologically, oldest to most current.

11. Substitutions Among Staff. If the creator, certifier, verifier, or authorizer is not available to perform his or her payment function, alternate persons in those same roles can substitute for them. Any CE, SrCE, or SCE can create the payment. Any SrCE or SCE can certify the payment as long as he or she did not create it.

The DD should be notified when an FO is unavailable to verify payments. Either the DD or the Chief of Operations can, in the absence of a FO, verify payments. However, if they verify payments, they will not be allowed to authorize those same payments.

11. Substitutions Among Staff. (Continued)

If the DD or Assistant DD is unavailable to authorize payments, the NO must be advised. In those situations, the NO will assign a temporary role to either the Regional Director or the Chief of Operations, so that they may authorize payments on a temporary basis. Any request for a temporary role assignment should be sent via email to the Policies Regulations and Procedures Unit Chief, or the Policy Branch Chief, at the NO.

12. Processing Exception Payments. In any case in which a payment must be expedited or cannot be processed by the DO as outlined above; e.g. terminal claimants or a second Part B payment, the PTF for Exception Processing (Exhibit 2) is used in place of the standard PTF, and is forwarded to the NO according to established procedures.

13. Processing Payment Cancellations. Recording a cancelled payment is critical to maintaining an accurate and comprehensive accounting of all funds disbursed by DEEOIC. The cancellation process is also necessary in cases where a compensation payment is being cancelled so that it may be redistributed, or paid in its entirety to another claimant. Multi-level reviews, concurrence by DEEOIC management and documentation of the actions taken by all parties (claimants, financial institutions, and DEEOIC claims staff) are essential to safeguarding the integrity and security of DEEOIC's financial accounting processes.

a. Cancellation Initiated by Treasury. The Department of Treasury transmits an electronic Cancellation Report to DEEOIC when either an EFT payment has been rejected/returned by a recipient bank, or when a paper check is returned to Treasury for any reason. These reports are sent to the DEEOIC National Office Fiscal Officer (NOFO), who then notifies the appropriate DO of the cancelled payment.

b. Cancellation Initiated by Claimant. Once compensation payments have been authorized by the DO and transmitted to Treasury for payment (either check or EFT), if payment is not received, the claimant may initiate an inquiry regarding non-receipt. The DO takes

13. Processing Payment Cancellations. (Continued)

the following steps upon notification by a claimant that his or her compensation payment has not been received:

(1) The claimant notifies the CE, who documents the call or the correspondence in ECMS case notes.

(2) If a claimant reports non-receipt of payment by telephone, the CE advises the claimant to document the non-receipt in a letter to DEEOIC.

(3) Upon receipt of either a telephone call or letter, the CE transfers the case file to the FO.

(4) The FO notifies the NOFO via email, of the non-receipt of funds.

(5) The NOFO initiates an inquiry in the Treasury Department's online PACER system, to determine the status of the payment, and advises the FO of one of the following:

(a) Check outstanding (not yet negotiated).

(b) Check Cancelled (returned to Treasury).

(c) EFT transaction completed.

(d) EFT funds returned to Treasury (Cancelled).

(e) Check negotiated (funds disbursed).

(6) The NOFO provides the FO with a copy of the payment status in PACER, via email.

(7) The FO advises the claimant of the payment status, as delineated above.

(8) In the case of a check that is still outstanding, the FO requests that the NOFO initiate a "stop pay" order with Treasury (through the PACER online system) if requested by the

13. Processing Payment Cancellations. (Continued)

claimant.

(9) Once a check has been negotiated, stolen check claims can be initiated with the Treasury Department, by the NOFO, but funds cannot be re-issued until authorized by Treasury.

14. Payment Cancellations at the NO. Once it is determined that an EFT payment has been returned to Treasury, or that a paper check has either been returned or had a "stop pay" order placed on it, the FO proceeds with a Payment Cancellation request to the NOFO.

a. Payment Cancellation Process.

(1) The DO transfers the case file out to "NAT" in ECMS, and mails the case file via overnight mail to the NOFO.

(2) Upon receipt, the NO transfers the file in to "NAT" in ECMS.

(3) The NOFO initiates a Payment Transaction Form for Exception Processing (Exhibit 2), and signs item #1, then forwards the case file to the Policy Unit Chief for review and signature (item #2). Upon completion, the Unit Chief forwards the case file to the Director or Deputy Director for review, signature, and completion of Step 1, in the Void Transaction screen of ECMS.

15. Void Transaction by DEEOIC Director. ECMS only allows the Director or Deputy Director to "Initiate" the on-line payment cancellation process. If upon review of the cancellation request, the Director or Deputy Director agrees that the ECMS payment record needs to be voided, the payment cancellation is initiated in ECMS.

a. Void Transaction Process.

(1) In ECMS, select "Initiate Void Compensation Transaction" from the Compensation menu.

15. Void Transaction by DEEOIC Director. (Continued)

- (2) At the Search Payment Record screen, enter the case SSN or name.
- (3) Click the "Initiate" button at the bottom of the Payment Update screen.
- (4) Click "YES" to confirm the Void Initiation.
- (5) After the void is reviewed and initiated in ECMS, the Director or Deputy Director checks off #3 and #4, and signs and dates the "Payment Cancellation" form (Exhibit 3). The case file is transferred out to the DO in ECMS, and returned via overnight mail.

16. Void Transaction by DD. Upon receipt of the case file in the DO, the ECMS file location is updated and the file is forwarded to the DD.

a. Only Authorized by DD. ECMS only allows the DD (or designated alternate) to "Authorize" (complete) the payment cancellation process in ECMS. If upon review, the DD agrees that the ECMS payment record should be voided, the payment cancellation is authorized by the DD.

- (1) In ECMS, select "Authorize Void Compensation Transaction" from the Compensation menu.
- (2) At the Search Payment Record screen, all pending check cancellations, pending authorization, will appear in a grid view.
- (3) Highlight the record to be authorized, and click "Select."
- (4) If no re-issue of the payment to that claimant is to be made (e.g. employee died before payment process was completed), check the "No Repayment To This Claimant" box.
- (5) If repayment is to be made to that payee, the box is left blank.

16. Void Transaction by DD. (Continued)

(6) Click the "Authorize" button at the bottom of the Payment Update screen.

(7) Click "YES" to confirm the Void Authorization. After the payment cancellation is authorized in ECMS, the DD checks off #5 and #6 on the Payment Cancellation form, signs and dates the form, then updates the file location in ECMS and delivers the case file to the FO.

Note: If an error is detected by the DD, the Transaction Cancelled section of the "Payment Cancellation" form is filled out. The case file is returned to the FO for review.

17. DO Actions After Void Transaction Has Been Completed in ECMS.

a. Re-Issuing Payments. If the compensation payment is to be re-issued, the FO routes the case file to the CE and advises that the payment cancellation process has been completed and that payment is to be re-issued.

(1) If the EN-20 is insufficient to process the re-issued payment, i.e. the bank routing/account numbers for EFT, or address for check, are incorrect, the CE sends a letter of explanation to the claimant, along with a copy of the original EN-20 prepared by FAB. Upon receipt of the new EN-20, the Compensation Payment process begins again with either Paragraph 4 (EFT) or Paragraph 5 (paper check) above.

(2) If the EN-20 is sufficient to process a re-issue of the payment (e.g. the bank routing/account numbers for EFT, or address for check, are correct, but were incorrectly entered in ECMS; or the original check was lost in the mail and payment was stopped), the Compensation Payment process begins again with either Paragraph 4 (EFT) or Paragraph 5 (paper check) above, using a new PTF with new authorization dates.

17. DO Actions After Void Transaction Has Been Completed in ECMS. (Continued)

b. Voided Transactions. If the compensation payment is not being re-issued, the FO confirms that the Void Transaction has been completed, and that the "No Repayment To This Claimant" box is checked on the View Comp. Transaction screen, under the "Void Transaction" tab. The case file is returned to the DO file room, and transferred to "FIL" in ECMS on the Case screen, or is returned to the CE for survivor development, if applicable.

18. Claims for Non-Receipt of Compensation Payments When Paper Check Has Been Negotiated. If the payee calls or writes the DO to advise that he or she did not receive his or her compensation check, the FO requests that the payee provide immediate written notification of non-receipt of payment. Upon receipt of written notification, the FO forwards such notice to the NOFO, who takes the following actions:

a. Non-Receipt of Compensation Payments Process.

(1) Payment status is reviewed in the Treasury Department PACER system.

(2) If payment status in PACER shows "Negotiated" (check cashed), the National Office FO creates a claim in the PACER system, for that payment and selects Option #2 - Entitlement After Status.

(3) After 24 hours, the NOFO contacts Treasury and verifies that the claim has been recorded in the Treasury Department's "T-SIS" system.

(4) Upon receipt of the claim in T-SIS, Treasury forwards a stolen check claim packet to the payee, and investigates the circumstances surrounding the claim.

(5) Only after Treasury notifies of resolution can the payment be re-issued by DEEOIC.

19. Issuing Multiple Payments To The Same Payee in ECMS E. Under Part E, claimants can receive compensation from three types of awards: lump sum compensation (specifically awarded to a survivor if the employee's covered illness was a significant factor in aggravating, causing, or contributing to the employee's death); wage-loss; and impairment. Unlike Part B, ECMS-E contains a field for the subsequent allocation of the Acceptance of Payment (AOP) amount into three categories. These three categories are labeled in ECMS-E as: "Wage-Loss Alloc," "Impairment Alloc," and "Lump Sum Alloc" the sum of which will be equal to the AOP Amount, and the corresponding final decision.

Because Part E cases may also require multiple decisions awarding various amounts of compensation, each AOP amount can be allocated to a sub-category as is appropriate. This section provides written guidance on the proper procedures for issuing multiple payments to the same payee in ECMS E.

a. After Issuance of a Final Decision. When the FAB issues a Final Decision awarding compensation under Part E, the FAB CE or HR must complete the AOP information on the payee screen in ECMS E. The AOP information consists of the AOP sent date, which is the date the EN-20 is sent out, and the AOP allocation amounts. The AOP allocation amounts coincide with the final decision that is being issued. These amounts include lump sum compensation, wage-loss, and impairment. The default amount for these blank fields is \$0.00. Therefore, if no award is granted or if benefits are denied in one of the three areas, in that decision, no input is needed for the relevant field. The procedure for entering the AOP information in Part E is outlined below.

(1) To add new AOP information for a payee, the FAB CE/HR must go to the payee screen in ECMS E, click on any field in the AOP section, and click "Insert." This accesses the AOP information screen where the FAB CE/HR has access to the AOP sent date and allocation amounts (impairment, wage-loss, and lump sum). The FAB CE/HR accurately completes these fields to coincide with the final decision. Once the allocated amounts are entered, ECMS automatically totals the

19. Issuing Multiple Payments To The Same Payee in ECMS E.
(Continued)

allocations and populates the (total) AOP amount. The AOP amount cannot exceed \$250,000 in ECMS E. The AOP amount field should match the amount on the EN-20, and the amount awarded under that particular final decision. For example, a final decision awards a widow \$125,000 because the employee's lung cancer (an accepted condition) was a significant factor in aggravating, causing, or contributing to the employee's death. She also receives \$25,000 for his wage-loss under the same decision. The EN-20 reflects a payment amount of \$150,000. The AOP screen shows "\$125,000.00" in the lump sum compensation field, "\$25,000.00" in the wage-loss field, and no amount paid in the impairment field. ECMS totals the amounts in the allocation fields and shows "\$150,000.00" in the AOP Amount field, which is the same amount on the EN-20.

b. Subsequent Decisions. If subsequent decisions are issued awarding additional compensation (such as additional wage-loss), a new AOP record is created following the process discussed above. This is a new/separate AOP entry that reflects the amount of compensation awarded in the corresponding final decision. All of the AOP records are retained and are accessible through the payee screen in ECMS, by highlighting the associated AOP record and pressing enter, or double-clicking on the record. ECMS displays the cumulative total of AOP amounts paid on the Case Screen. This total does not include payments that have been cancelled. The Total Compensation Allocated, on the case screen, cannot exceed \$250,000 in ECMS-E.

(1) When the completed EN-20 is received in the district office, it is routed to the CE if payment is to be made via paper check, or routed to the PCA if payment is to be made via EFT. For an EFT, the PCA accesses the EFT tab on the payee screen to enter the EFT data. If there are any changes to the EFT banking information (i.e. the claimant has changed bank names, account numbers, or

19. Issuing Multiple Payments To The Same Payee in ECMS E.
(Continued)

account types since the last EFT payment), the PCA edits/changes the information currently displayed on the EFT screen. The EFT information includes the bank name, bank address, routing number, account number, account name, account type, contact name, and contact phone number. The account number, routing number, account name, and account type are verified with the bank, to the fullest extent possible, and documented in the case file.

(2) Upon receipt of an EN-20 for processing, the CE must first enter the AOP received date. To do this, the CE accesses the payee screen in ECMS, highlights the associated AOP record (which will have a blank AOP received date), and presses the enter key, or double-clicks on the record. This allows access to the AOP information line. The CE can only add/edit the AOP received date. The CE cannot add/edit the AOP sent date, or the AOP amount. The CE inputs the receipt date of the EN-20 from the date stamp showing receipt of the document at the DO. Once the CE saves the AOP received date, he/she closes out of the case in ECMS.

(3) The CE completes the Payment Transaction Form (PTF) in accordance with Paragraph 6, above.

(4) Upon entry of the AOP received date and completion of the PTF, the CE is ready to create the compensation transaction in ECMS-E. The CE selects "Compensation" from the main menu at the top of the screen, followed by "Create Compensation Transaction" from the corresponding drop down menu. The CE then enters the employee and payee Social Security number and pushes the "Search" button. The employee and payee information should appear on the "Add Payment Transaction" screen.

(5) The process of certifying, verifying and

19. Issuing Multiple Payments To The Same Payee in ECMS E.
(Continued)

authorizing payments for the SrCE/SCE, FO and DD,
proceeds as delineated in Paragraph 4, above.

20. Re-Issuing Payments After Payment Cancellation. If a previously voided payment, that is eligible for re-issue exists, (e.g. check was cancelled, EFT was returned because of erroneous banking information, etc.) the "Create Payment" button will change to a "Re-issue Payment" button that can be selected when the corresponding AOP record is highlighted. As always, if information needs to be corrected on the payee screen, such as routing number or street address, the PCA must complete this prior to the payment being re-issued.

PAYMENT TRANSACTION FORM

CASE FILE INFORMATION

EMPLOYEE SSN: _____ **PAYEE SSN:** _____

PAYEE NAME: _____
Last First MI

PAYMENT AMOUNT: \$ _____

PAYMENT ADDRESS – *To be completed for Paper Checks ONLY*

Is this a PAYMENT ONLY address? YES NO

LINE 1 _____
 LINE 2 _____
 LINE 3 _____
 LINE 4 _____
CITY STATE ZIP

EFT ACCOUNT INFORMATION – *To be completed for EFT Transactions ONLY*

EFT BANK ROUTING #: _____

EFT BANK ACCOUNT #: _____

EFT ACCOUNT TYPE: CHECKING SAVINGS

CERTIFICATION

APPROVALS	PRINT NAME	SIGNATURE	DATE
1. Set Up/CE			
2. Certification/SCE			
3. Verification/FO			
4. Authorization/DD			

TRANSACTION CANCELLED: YES

CANCELLED BY: _____

REASON: _____

US DOL - ESA - OWCP - DIVISION OF ENERGY EMPLOYEES OCCUPATIONAL ILLNESS COMPENSATION

PAYMENT TRANSACTION FORM for EXCEPTION PROCESSING

EMPLOYEE SSN: -- PAYEE SSN: --

PAYEE NAME: _____
Last First M.I.

PAYMENT AMOUNT: \$ _____ PAYMENT TYPE: PART B PART E

PAYMENT ADDRESS - To be completed for Paper Checks ONLY

Is this a PAYMENT ONLY address? YES NO

LINE 1 _____
 LINE 2 _____
 LINE 3 _____
 CITY STATE ZIP

EFT ACCOUNT INFORMATION - (For EFT Transactions ONLY)

SPECIFY TYPE OF EFT PAYMENT: ACH (Overnight) or FED WIRE (Same Day)

EFT: ACH or FED WIRE Routing (ABA/RTN) #: _____

EFT: Bank Account #: _____

EFT Account Type: CHECKING SAVINGS

CERTIFICATION

APPROVALS	PRINT NAME	ECMS User ID	SIGNATURE	DATE
1. Set Up/CE				
2. Certification/SCE				
3. Verification/FO				
4. Authorization/DD				
5. SPS Data Entry				
6. SPS Certification				

SCHEDULE NUMBER: _____ ENTERED in ECS LOG:

TRANSACTION CANCELLED: YES CANCELLED BY: _____

REASON FOR CANCELLATION: _____ Version 1.2 12/10/08

PAYMENT CANCELLATION

PAYEE NAME: _____

Payee SSN: _____

FILE NUMBER: _____

Part B or E: _____

Payment Date: _____

Payment Amt: _____

Check, as Applicable:

If Initiated by Claimant . . .

If Initiated by Dept of Treasury . . .

Action 1:

<input type="checkbox"/>	Letter/Call Received from Claimant
<input type="checkbox"/>	Status Checked/Cancellation Initiated
<input type="checkbox"/>	Treasury Dept. Cancellation Report Rec'd, or Status Reviewed in PACER

<input type="checkbox"/>	Treasury Dept. Cancellation Report Received by DEEOIC
<input type="checkbox"/>	Status Reviewed in PACER

David Evans		
Printed Name - NO Fiscal Officer	Signature - NO Fiscal Officer	Date

Action 2:

Reviewed by Unit Chief, BPRP

Printed Name - Unit Chief	Signature - Unit Chief	Date

Action 3:

Reviewed by Director or Deputy Director, EEOICP

Action 4:

"Initiated Void Compensation Transaction" in ECMS (Director or Deputy Director)

Printed Name - Director or Deputy	Signature - Director or Deputy	Date

Action 5:

Reviewed by District Director, DO

Action 6:

"No Re-Payment Required"

Action 7:

"Authorized Void Compensation Transaction" in ECMS (District Director)

Printed Name - District Director	Signature - District Director	Date

<input type="checkbox"/>	PAYMENT CANCELLATION PROCESS TERMINATED ON AUTHORITY OF:	
Printed Name	Signature	Date