

U.S. OFFICE OF PERSONNEL MANAGEMENT

OPERATING MANUAL UPDATE

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The Guide to Processing Personnel Actions

Update 41

***** NOTICE *****

As previously noted in earlier Updates, this Guide and its Updates are available for viewing/printing only by accessing our web site (www.opm.gov/feddata/persdoc.htm). Agency representatives responsible for processing personnel actions should follow the instructions on the web site if interested in signing up to automatically receive Updates electronically.

Beginning with this Update, individual pages of chapters being revised will no longer show the effective date as a footnote. The effective date continues to be shown on the cover page of the Update. Accordingly, we will delete such remaining footnotes in chapters not impacted by this Update as each of the remaining chapters is updated.

Distribution: Operating Manual, THE GUIDE TO PROCESSING PERSONNEL ACTIONS

Inquiries: For inquiries about information in this Update, contact the Division for Strategic Human Resources Policy, Deputy Associate Director - Center for HR Systems Requirements & Strategies, Personnel Systems Group by email at owi@opm.gov.

The Guide to Processing Personnel Actions (2)

Summary of Changes

Remove		Insert	Explanation of Changes
Page	Identification	Page	
1-1 thru 1-16	Various	1-1 thru 1-16	1) Reissues chapter in its entirety deleting footnotes. 2) Updates office titles for OPM offices as a result of reorganization within OPM.
3-1 thru 3-36	Various	3-1 thru 3-36	1) Reissues chapter in its entirety deleting footnotes. 2) Updates office titles for OPM offices as a result of reorganization within OPM. 3) Corrects references to Comptroller General Decisions in Figure 3-1 from "18CG582" to "18CG907", and from "30CG334" to "30CG344".
4-1 thru 4-10	Various	4-1 thru 4-10	1) Deletes footnotes. 2) Corrects reference on page 4-4, section a(2) from "section 4" to "section 5". 3) Corrects reference on page 4-4, section a(3) from "section 5" to "section 6". 4) Corrects reference on page 4-6, section d(2) from "page 4-13" to "page 4-11". 5) Corrects reference on page 4-8, section b(3) from "section 5a" to "section 6a".
4-15 thru 4-60	Various	4-15 thru 4-60	1) Deletes footnotes. 2) Corrects references to Comptroller General Decisions in Job Aid on page 4-15 from "18CG582" to "18CG907", and from "30CG334" to "30CG344".
11-1 thru 11-40	Various	11-1 thru 11-40	1) Reissues chapter in its entirety deleting footnotes. 2) Clarifies Rule 75 in Table 11-C with respect to use of remark code B52. 3) Deletes reference to "Sch A, 213.3102(g) and WGM" in figure 11-1 as authority is obsolete.
17-1 thru 17-35	Various	17-1 thru 17-35	1) Reissues chapter in its entirety deleting footnotes. 2) Corrects reference on page 17-5 in Section 4 from "section 6" to "section 7".

Chapter 1. The Guide to Processing Personnel Actions

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Chapter 1. The Guide to Processing Personnel Actions

Subchapter 1. Introduction to this Guide

1-1. Authority.

The Office of Personnel Management's authority to prescribe reporting requirements covering personnel actions is in section 2951, title 5, United States Code. Section 7.2, civil service rule VII, is based on that statute and extends this authority to all types of appointments and personnel actions. In addition, Executive Order 12107 delegates to the Office of Personnel Management the authority to prescribe regulations relating to the establishment, maintenance, and transfer of official personnel folders.

1-2. Coverage.

“The Guide to Processing Personnel Actions” (**Guide**) contains the Office of Personnel Management’s instructions on how to prepare personnel actions. Agencies may supplement the **Guide** with additional instructions and may require personnel action documentation in addition to what is called for in the **Guide**. However, in no case may an agency document derogatory or medical information on a personnel action if the information is not authorized by this **Guide**.

1-3. Documentation of Personnel Actions.

a. Request for Personnel Action. For most of the personnel actions you process, there will be a Request for Personnel Action, Standard Form 52, or a similar agency form approved by the Office of Personnel Management as an exception to the Standard

Form 52. The Standard Form 52 is usually initiated by the office or supervisor who wants to take a personnel action, such as the appointment of an employee; occasionally the personnel office initiates the form. The requester completes one part of the Standard Form 52 and forwards it to others (such as the budget office) whose approval is required by the agency. The form is then sent to the personnel office for review and clearance by classification, staffing, and other personnel specialists, and for signature by the individual(s) to whom authority to approve personnel actions (appointing authority) has been delegated. Chapter 4, of this **Guide**, explains how to complete the Standard Form 52; if your agency has an exception to the Standard Form 52, approved by the Office of Personnel Management, the instructions in Chapter 4 apply to it as well. After the Standard Form 52 has been completed and the requested action has been approved, the form is sent to the personnel clerk or assistant who uses it to process the action in the agency’s automated personnel system.

b. The Notification of Personnel Action Standard Form 50, Standard Form 50-B, list form of notice, or an exception to one of these forms approved by the Office of Personnel Management, constitutes official documentation of Federal employment. Chapter 4, of this **Guide**, explains how to complete the Standard Form 50 and list form of notice. If your agency has an exception to the Standard Form 50 approved

by the Office of Personnel Management, the instructions in Chapter 4 apply to it, as well.

(1) The Notification of Personnel Action must be prepared for all accessions, conversions, and separations - nature of action codes beginning with 1, 5, or 3 - and for all corrections and cancellations of these actions. For these actions, the Notification of Personnel Action is required both as official notification to the employee and as official documentation of the action. The employee must receive a Notification of Personnel Action for these actions. A copy of the Notification of Personnel Action must be filed on the right side of the Official Personnel Folder. Accessions and separations due to mass transfer may be documented by a list form rather than the Standard Form 50.

(2) The Notification of Personnel Action is not required for the following actions:

Exception to Reduction in Force Release;
Realignment;
Recruitment Bonus;
Relocation Bonus;
Time Off Award;
Foreign Language Award;
Gainsharing Award;
Suggestion Award;
Invention Award;
Special Act or Service Award;
Senior Executive Service Performance Award; and
Performance Award.

These actions are **not** documented on the right side of the Official Personnel Folder. At the agency's option, they may be documented on the left side of the Official Personnel Folder while the person is employed in the agency. Agencies may choose to use the Notification of Personnel Action to notify employees of these

actions or they may choose other methods of notification. Other notification methods must meet the requirements in Chapter 4 of this **Guide**.

(3) For all other actions, the Notification of Personnel Action must be prepared and filed on the right side of the Official Personnel Folder. Agencies may choose to notify employees of the action with a copy of the Notification of Personnel Action or with another method that meets the requirements in Chapter 4 of this **Guide**.

c. Central Personnel Data File.

Much of the Standard Form 52 and Standard Form 50 information is collected to meet Government-wide human resource information needs. This information is reported to the Central Personnel Data File (CPDF), a centralized automated information system that provides statistics on Executive Branch employment to the Congress, Office of Personnel Management, and other agencies. This information is used in a variety of ways to evaluate and formulate human resource systems and programs. Unless specifically authorized in the operating manual, **The Guide to the Central Personnel Data File**, all personnel actions described in this **Guide** are reported in Central Personnel Data File dynamics submissions.

1-4. Nature of Action (NOA), Legal Authority, and Remarks.

Each chapter on processing actions contains instructions on how to select the nature of action, the legal authority(ies), and the remarks for the action. A complete list

of natures of action (both the full and the abbreviated versions), the legal authorities, the remarks, and their associated codes is published in [The Guide to Personnel Data Standards](#).

a. Nature of Action. (1) The nature of action (NOA) is the phrase that explains the action that is occurring (such as “appointment” or “promotion”). Each nature of action has a unique numerical code that identifies, for statistical and data processing purposes, that particular nature of action. Each time a table directs you to enter a particular nature of action on a Standard Form 52 or Standard Form 50, you must also enter its code.

(2) The first digit of the nature of action code indicates the type of action:

- 100 series—appointments
- 200 series—returns to duty from nonpay status
- 300 series—separations
- 400 series—placements in nonpay and/or nonduty status
- 500 series—conversions to appointment
- 600 series—(reserved for Office of Personnel Management use)
- 700 series—position changes, extensions, and miscellaneous changes
- 800 series—pay changes and miscellaneous changes
- 900 series—(Reserved for use by agencies)

The second and third digits of the nature of action code indicate the particular kind of action, for example, “promotion,” “resignation,” etc.

(3) Nature of action codes 000-899 may be used only as authorized by the Office of

Personnel Management. Within the 000-899 group of codes are ones used to record actions involving particular groups of employees. If your agency is authorized to use any of these special codes, your personnel office will have a list of them and instructions on when and how they are to be used.

(4) Codes 900-999 may be used by agencies to document personnel matters that are of interest to the agency and for which the Office of Personnel Management does not require a Standard Form 50, for example, a change in the employee's position number when no other change occurs, or a change in the appropriation from which the employee is paid. In general, a Standard Form 50 documenting a 900 series action may not be filed on the right side of the Official Personnel Folder (OPF). The exception is when an agency uses the Standard Form 50 instead of an agency form to document something that is approved for long-term Official Personnel Folder retention. An example is completion of the supervisory or managerial probationary period. Actions in the 900 series are not reported in Central Personnel Data File dynamics submissions.

b. Legal Authority. (1) The legal authority is the law, Executive Order, regulation, agency directive, or the instruction under which the personnel action is taken. While the nature of action identifies the personnel action, the authority identifies the specific circumstances under which the action is taken. Agencies and the Office of Personnel Management use this kind of information to perform their personnel management functions.

(2) Each authority has a unique alphabetical or numerical code to identify it for statistical and data processing purposes. Each time a table tells you to use a particular authority, you must also use the code. When more than one authority and code is required, you must enter them on the Standard Form 52 and Standard Form 50 in the order in which they are listed in this **Guide**.

(3) Legal authority codes beginning with an alpha character (meaning a letter), and those beginning with the numbers “1” - “5,” are reserved for use by the Office of Personnel Management to identify authorities on actions that are reported to the Central Personnel Data File. An agency may create its own legal authority codes, using “6,” “7,” “8,” or “9” as the first character of the code, to identify an authority unique to the agency. Such an authority may be cited on an action *only* when the action is one that is *not* reported to the Central Personnel Data File *or* when the authority is to be cited as the *second* one on an action that is reported to the Central Personnel Data File.

(4) To obtain the legal authority code to be cited for a new law, regulation, Executive Order, or other authority on an action that will be reported to the Central Personnel Data File, contact the Deputy Associate Director, Center for HR Systems Requirements & Strategies by facsimile at 202-606-1719 or by email owi@opm.gov.

c. Remarks. (1) Remarks are put on the Standard Form 50 to explain the action to the employee, the payroll office, future employers,

the Office of Personnel Management, and to other Federal agencies. For some actions, specific remarks are always required; for others, the remarks will vary according to the employee's work history. Tables in the chapter that covers the action will tell you how to select the necessary remarks and list them. The remarks used on documentation of personnel actions are standardized and agencies **may not change** or alter a remark listed in this **Guide** without the prior approval of the Office of Personnel Management. Except as noted below, agencies may supplement the remarks to explain actions.

(a) When an employee whose appointment does *not* afford appeal rights submits a resignation or retirement, or is separated by the agency, no agency reasons for or explanation of the separation (“agency finding”) may be placed on the action.

(b) When an employee whose appointment does afford appeal rights submits a resignation or retirement *before* receiving *written* notice of a proposed disciplinary or adverse action, no remarks regarding the proposal may be placed on the action.

(2) Remarks are identified in this **Guide** by codes for ease of reference. The first characters of the remarks codes indicate the purpose for which the remark is used; the other characters of the code have no significance.

<i>First Character</i>	<i>Remarks Explains</i>
A	Appointment Limitations
B	Benefits and Leave Entitlements
C	Corrections and Cancellations
E	Employment Conditions
G	Service Credit

K	Position Change Actions
M	Miscellaneous Information
N	Pay In Addition To or Outside of Salary to Relocate or to Accept Reassignment
P	Rate of Pay
R	Employee's Reason for Resignation, Retirement, Failure to Relocate or accept Reassignment
S	Agency's Comments on Employee's Separation
T	Tenure
X	Retained Grade and Pay
Y-Z	(Reserved for internal use by agencies)

1-5. Other Standard Form 50 Data.

The Office of Personnel Management has developed standard codes to record other data on personnel action forms and to report data to the Central Personnel Data File. These codes and their definitions are published in [The Guide to Personnel Data Standards](#). Only the codes published in [The Guide to Personnel Data Standards](#) and in this **Guide** may be used to document information in the following blocks of the Standard Form (SF) 52, SF 50, and SF 50-B:

<u>SF52</u>	<u>SF 50/SF 50-B</u>
B-5-6	5-6
B-8-13	8-13
B-16-21	16-21
B-23-24	23-24
B-26-30	26-30
B-32-35	32-35
B-37-38	37-38
B-45-51	47-48

1-6. Cancellations and Retroactive Personnel Actions.

When a personnel action is determined to be in error, follow the instructions in Chapter 32 of this **Guide** regarding proper action to take.

1-7. Need for Accuracy and Use of Personnel Action Data.

a. Personnel action data are used by both employing agencies and the Office of Personnel Management. They are used by agency personnelists and managers to make decisions about employees, for example, whether a current employee is qualified for promotion, is eligible for reinstatement, etc. Agencies and the Office of Personnel Management's Workforce Information and Planning Group use employee data, including nature of action and authority, to generate statistics providing a wide variety of information on the Federal workforce to the President, Congress, Office of Personnel Management personnel program managers, agencies, and to the public. This information is used to make policy decisions on personnel programs which affect current and future Federal employees. The data reported to the Central Personnel Data File are also used by the National Personnel Records Center to provide locator and general reference service concerning Federal employees.

b. To protect the interests of both the employee and the Government, it is critical that actions be documented correctly and

that data on each action discussed in this **Guide** be reported to the Office of Personnel Management's Central Personnel Data File accurately and on a timely basis; the operating manual, **The Guide to the Central Personnel Data File**, explains how and when to submit data to the Central Personnel Data File. When personnel action data are received by the Office of Personnel Management, they are rigorously screened and edited. Lists of errors found in the screening process are sent back to

the submitting agencies.

1-8. Questions Regarding Unusual Cases.

An agency's Human Resources Office should direct questions to the Deputy Associate Director, Center for HR Systems Requirements & Strategies by facsimile at 202-606-1719 or email at owi@opm.gov.

Subchapter 2. How to Use this Guide

2-1. How the Guide is Organized.

The first seven chapters of **The Guide to Processing Personnel Actions (Guide)** contain general instructions for processing personnel actions, including how to complete the Standard Form 52, Request for Personnel Action, and the Standard Form 50, Notification of Personnel Action, and how to determine creditable service and calculate a service computation date. Chapters 9 through 32 contain instructions for specific types of actions. Chapter 34, Topic Index and Chapter 35, the *Glossary*, are readers aids for using this **Guide**. The Topic Index helps identify the correct chapter where information is located and the Glossary defines terms.

Each specific type of action is covered in a separate chapter. Chapters 9 through 32 contain:

- C an introduction that explains the personnel actions covered by the chapter, and definitions of those actions;
- C step-by-step instructions on how to process the action, (decisions to be made and actions to be completed); and
- C tables to help you select the correct information to put on the Standard Form 52 and the Standard Form 50.

Most of the instructions and tables for a particular action are in the same chapter. There will be times, however, when you will have to look elsewhere. For example,

- C When a table in one chapter applies to several kinds of actions and the table has not been reprinted in other chapters, you will be told to turn to it.
- C Instructions regarding benefits are complicated and they are not reprinted. You are told where to find them elsewhere in Office of Personnel Management publications.
- C When general instructions apply to more than one kind of action, they have been combined in the first 7 chapters.

2-2. Identification of Changes to the Guide.

When revised pages are issued, new or changed material is indicated by a right-hand arrow (>) at the beginning and a left-hand arrow (<) at the end of such changed material. The deletion of information is indicated by three consecutive stars (***) . These designations are not usually used when an entire chapter is re-issued.

Job Aid

Getting Ready to Process Personnel Actions

When you process personnel actions, there are forms you will use, terms you will hear, and manuals to which you will refer constantly. To make your work easier later on, you should do the following steps.

STEP	ACTION
1	Establish an office file of reference materials that will be used with this Guide when processing personnel actions. Your file should include: <ul style="list-style-type: none"> title 5, United States Code; title 5, Code of Federal Regulations; The Guide to Personnel Recordkeeping; The Guide to Personnel Data Standards; The CSRS and FERS Handbook for Personnel and Payroll Offices; Federal Employees Group Life Insurance Program - A Handbook for Employees, Annuitants, Compensators and Employing Offices; The Federal Employees Health Benefits Handbook for Personnel and Payroll Offices; and Your agency's instructions for processing personnel actions. (Some parts of this Guide will refer you to your agency's instructions.)
2	Read The Guide to Personnel Recordkeeping , which covers personnel records and files. Keep it handy for easy reference. You will use it often.
3	Become familiar with title 5, United States Code , and title 5, Code of Federal Regulations , which contain many of the authorities cited on personnel actions. The Code of Federal Regulations is updated through daily publications of the Federal Register .
4	Become familiar with personnel language. Read through the <i>Glossary of Terms</i> in this Guide (Chapter 35). Refer to the <i>Glossary</i> as you process actions to learn the definitions of terms you do not know or understand.
5	Become familiar with personnel forms. You will use many of them. Thoroughly read the instructions on the form and in this Guide <i>before</i> using any form. (You may find it helpful to keep a copy of each form you complete as a sample for future reference.)

Page 1-12 is blank.

Job Aid

Instructions for Processing Personnel Actions

The chapters in the **Guide** will tell you how to select the codes and information to enter on the Standard Form 52, Request for Personnel Action. If you do not have all the information you need about the reason for the action or about the employee it concerns, **ASK QUESTIONS** of the personnel specialist who approved the action. **DO NOT GUESS**. Your documentation affects the rights and benefits of Federal employees.

Follow the 3 steps in the table below when processing personnel actions.

STEP	ACTION
1	<p>Decide what kind of action has been requested or is needed.</p> <p>Most personnel actions are processed starting with the receipt of a Standard Form 52, Request for Personnel Action. Check blocks 5-B and 6-B in Part B. If you cannot tell from the Standard Form 52, ask the personnel specialist who approved the action.</p>
2	<p>Locate the correct chapter in the Guide for instructions on processing the action.</p> <p>Use the reader aids, the Table of Contents and the Topic Index (Chapter 34), in the Guide to choose the most likely chapter. If terms are unfamiliar to you, refer to the Glossary (Chapter 35).</p> <p>Once you have chosen a likely chapter, review the chapter contents page and the coverage section for that chapter. These will help you decide whether the instructions you need are contained in the chapter.</p>
3	<p>Follow carefully the instructions found in the chapter(s) appropriate for the action you wish to process.</p> <p>Read the narrative information included in the chapter before going to the tables and figures. Provided in each chapter are definitions for terms used. Also provided are instructions that refer to special situations that may occur which the tables and figures may not address.</p> <p style="text-align: right;"><i>Continued on next page</i></p>

Job Aid**Instructions for Processing Personnel Actions, continued**

STEP	ACTION
<p>3 continued</p>	<p>Follow carefully the instructions found in the chapter(s) appropriate for the action you wish to process, continued.</p> <p>The instructions cover only the Office of Personnel Management’s requirements and may not include everything that your agency requires. Therefore, if your agency has its own processing instructions, you must follow them, as well. Because each personnel office may operate under different procedures, this Guide does not tell you who is responsible for each processing step.</p> <p>When you find that a step has already been completed, use this Guide to check to see that it was completed correctly. DO NOT just copy something from a previous Standard Form 50, Notification of Personnel Action. <i>If there was a mistake on the previous action and you copy it, your mistake may affect the employee’s pay or benefits.</i></p> <p>The chapter(s) will tell you how to select the codes and information to enter on the Standard Form 52. Use the Standard Form 52 as a “draft” to prepare the Standard Form 50. Chapter 4 gives you general information on how to complete the Standard Form 52 and explains what your final Standard Form 50 must contain. More specific information is in the chapter that covers the particular action you are processing.</p>

Job Aid

How to Use a Decision Logic Table

Charts instead of paragraphs.

Most of the instructions in this **Guide** are in the form of Decision Logic Tables. A Decision Logic Table gives you instructions in the form of a chart rather than in the form of a paragraph. Some Decision Logic Tables will help you select information which must be put on the Standard Form 50, Notification of Personnel Action.

Rules on a Decision Logic Table.

It is easier to make a decision with a Decision Logic Table because all the conditions you must consider are shown in separate boxes. A sentence in a Decision Logic Table is called a “rule.” Each rule shows conditions which must be considered, their relationships to each other, and the decision or appropriate instructions.

Reading the rules.

Decision Logic Tables used in this **Guide** are read across (horizontally). To read a Decision Logic Table, look at the caption for column A, the entry for the rule in column A, the caption for column B, the entry for the rule in column B, etc., until you have read across the entire table.

For example, look at the chart below. Rule 1 reads, “*If the appointment is based on the selection from a certificate issued from a civil service register maintained by an agency with a delegation of competitive examining, and the appointment is with Career-Conditional Status, then Nature of Action is Career-Cond Appt.*”

R	A	B	C
U			
L	<i>If the appointment is based</i>	<i>And the appointment is</i>	<i>Then Nature of Action</i>
E	<i>on the</i>		<i>is</i>
1	Selection from a certificate issued from a civil service register maintained by an agency with a delegation of competitive examining	With Career-Conditional Status	Career-Cond Appt
2	Reinstatement of a person who had competitive status or was serving probation	With Career Status	Career Appt
3	(i.e., was on a career or career-conditional appointment) when separated	With Career-Conditional Status	Career-Cond Appt

Continued on next page

Job Aid**How to Use a Decision Logic Table, continued**

Look at the chart below to read rule 2. To make it easier to follow, parts of rules 1 and 3 have been blocked out. Rule 2 reads, “*If the appointment is based on the reinstatement of a person who had competitive status or was serving probation (meaning, was on a career or career-conditional appointment) when separated, and the appointment is with Career Status, then Nature of Action is Career Appt.*” Notice that you begin to read each rule with the heading for the first column (A).

R U L E	A	B	C
	<i>If the appointment is based on the</i>	<i>And the appointment is</i>	<i>Then Nature of Action is</i>
1			
2	Reinstatement of a person who had competitive status or was serving probation	With Career Status	Career Appt
3	(meaning, was on a career or career-conditional appointment) when separated		

Look at the chart below to read rule 3. It reads, “*If the appointment is based on the Reinstatement of a person who had competitive status or was serving probation (meaning, was on a career or career-conditional appointment) when separated, and the appointment is with Career-Conditional Status, then Nature of Action is Career-Cond. Appt.*” Because there is no new entry for rule 3 in the first column (A), use the last entry, which also is used for rule 2. Each new entry is separated from the preceding one by a horizontal line; if there is no new entry for a particular rule, read the last entry from the rule above. (Parts of rules 1 and 2 are blocked out to make it easier to read the rule.)

R U L E	A	B	C
	<i>If the appointment is based on the</i>	<i>And the appointment is</i>	<i>Then Nature of Action is</i>
1			
2	Reinstatement of a person who had competitive status or was serving probation		
3	(meaning, was on a career or career-conditional appointment) when separated	With Career-Conditional Status	Career-Cond Appt

Chapter 3. General Instructions for Processing Personnel Actions

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Chapter 3. General Instructions for Processing Personnel Actions

Subchapter 1. General Instructions

1-1. Authority to Prescribe Reporting Requirements.

The Office of Personnel Management's authority to prescribe reporting requirements covering personnel actions is in section 2951, title 5, U.S. Code. Part 7.2, title 5, U.S. Code of Federal Regulations, is based on that statute, and extends this authority to all types of appointments and personnel actions.

1-2. Employee Name.

a. Name Used. The general rule on use of a name on an employee's records is consistency: show the employee's name in the same way on all Government records. The name to record on official personnel records for an appointee is the name commonly used in the community where the appointee resides, for example, the name entered on application papers and used for social security records, driver's license, income tax purposes, and bank accounts. If application papers reflect a nickname enclosed in parentheses or quotation marks, it is not considered part of the employee's name for personnel records.

b. Recording employee's name. The name is recorded on the Official Personnel Folder and on Notifications of Personnel Action in the following manner:

LAST NAME [comma] SUFFIX (Jr., Sr.)
 [comma] [space]
 FIRST NAME or INITIAL [space]
 MIDDLE NAME(s) or initial(s)

Examples:

DOE, Jr., JOHN NMN
 MARTIN, M. CATHERINE
 O'REILLY, JOHN F.X.
 MARTINEZ-SANDOVAL, MARIA
 ELENA

When a personnel document asks for a middle name or initial, and the employee has no middle name or initial, enter "NMN." Record apostrophes and hyphens of spaces between double names only as used by the employee. Do not use titles, such as "Mr." "Ms.," "Miss," "Dr.," and "Professor," on Notifications of Personnel Action or on the Official Personnel Folder.

1-3. Effective Dates.

a. Prior Approval. Except as explained in Table 3-A, no personnel action can be made effective prior to the date on which the appointing officer approved the action. That approval is documented by the appointing officer's pen and ink signature or by an approved electronic authentication in block 50 of the Standard Form 50, or in Part C-2 of the Standard Form 52. By approving an action, the appointing officer certifies that the action meets all legal and regulatory requirements and, in the case of appointments and position change actions, that the position to which the employee is being assigned has been established and properly classified.

b. Setting Effective Dates. Unless otherwise indicated on the Notification of Personnel Action, separations and actions to terminate grade and pay retention are

effective at the end of the day (midnight); all other actions are effective at the beginning of the day (12:01 a.m.).

Separations are actions that remove employees from the rolls of their agencies, for example, deaths, resignations, terminations, removals, and retirements. Any action whose nature of action code (NOAC) begins with a "3" is a separation.

(1) Follow instructions in Table 3-A to set dates in situations where approval of the appointing officer is required. Use Figure 3-1 to identify Comptroller General decisions that address effective dates and how they are set in specific situations.

(2) Follow instructions in Table 3-B to set dates in those situations where prior approval of the appointing officer is not required.

1-4. Approval of Personnel Actions.

a. Requirement for approval. As explained in paragraph 1-3a, most personnel actions must be approved by the appointing officer on or before their effective dates. An appointing officer is an individual in whom the power of appointment is vested by law or to whom it has been legally delegated. Only an appointing officer may sign and date the certification in Part C-2 of the Standard Form 52 or blocks 50 and 49 of the Standard Form 50 to approve an action.

b. Delegation of appointing authority. Under 5 U.S.Code 302, the head of an agency may delegate appointing authority to subordinates. Such delegations are generally made to the agency's director of personnel who then redelegates the authority to other members of the personnel staff, as necessary. A delegation of appointing authority may be made to a specific individual or to the incumbent of specific position. The delegation must be in

writing and define clearly the extent of the authority being granted, for example, authority to approve all within-grade increase actions.

c. Responsibilities of the appointing officer. The appointing officer is responsible for ensuring that each personnel action he or she approves meets all legal and regulatory requirements. He or she is responsible for approving determinations made by recruiters, staffing specialists, personnel assistants, and other personnel office staff with regard to legal authority for the action, including issues such as qualifications, pay, and suitability. The appointing officer makes final pre-appointment determinations regarding citizenship, veterans' preference, minimum and maximum age limits (where appropriate), suitability, qualifying experience and education. In the case of appointments and position change actions (for example, promotions), the appointing officer ensures that the position to which the employee is assigned has been established and properly classified.

d. Criteria for selection of appointing officers. Agencies must ensure that appointing authority, that is, the authority to approve and certify actions, is delegated only to persons whose training and experience enable them to review the background material on a proposed action and determine whether it meets the necessary legal and regulatory requirements. Approval of actions is a serious responsibility that should not routinely be assigned to clerical or other technical support personnel who may lack the necessary background and training to make the decision to approve or disapprove an action. A person who has not been a party to the recruitment, qualification, selection, and pay-setting processes on a

proposed action, and who lacks information as to how these determinations were reached, cannot and should not be expected

to decide whether the specific action meets legal and regulatory requirements.

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Subchapter 2. Cancellations and Retroactive Personnel Actions

2-1. Coverage

These instructions cover cancellations and retroactive actions to implement decisions, as defined below. These instructions also apply when the employing agency identifies, outside of the decision process, an erroneous or improper personnel action that needs corrective action. Nothing in these instructions, however, authorizes or permits an agency to enter into a settlement agreement that is contrary to the civil service laws or regulations.

2.2. Definitions.

a. A decision as referred to in this chapter is: (1) a Court Order; or (2) a decision or order or a settlement agreement reached under the rules and regulations of the Merit Systems Protection Board (MSPB), the Equal Employment Opportunity Commission (EEOC), the Federal Labor Relations Authority (FLRA), the Office of Personnel Management (OPM), or the agency; or (3) an arbitral award, or a decision of an agency head which adopts the recommendations of an agency fact finder; or (4) a settlement agreement between an individual and an agency under circumstances other than those above.

b. A cancellation cancels or rescinds an earlier action that was improper, that was proper but contained references to an improper action, or that contained remarks that are inappropriate or erroneous and that should not have been recorded.

c. A retroactive action is one which is prepared or processed after the pay period in

which it is to be effective. Retroactive actions may be either replacement actions or newly required actions.

d. A replacement action is one which takes the place of or replaces a canceled Standard Form 50 when:

- Another action is being substituted for the original action (for example, when a 15-day suspension is substituted for a 30-day suspension); or
- The original action was canceled because it contained erroneous information and/or inappropriate remarks, but was otherwise a valid action; or
- The original action was canceled because it in some way reflected the effects of another personnel action that was also canceled (for example, a change to career tenure that reflects the wrong grade because a previous change to lower grade was canceled).

e. A newly required action is a personnel action that is required as a result of a decision or as a result of a cancellation. For example, if a reassignment action was canceled and a replacement action issued for promotion, there might also be the need to issue an action for a within-grade increase for which the employee would have been eligible due to the retroactive effective date of the promotion.

f. Improper service or improper assignment is service or an assignment performed in a position or positions to which a decision says the employee should not have been assigned or non-Federal service performed during a period of improper separation from Federal service.

g. Void action is an action which should never have occurred because of an absolute statutory bar to it, such as appointment of a male who has not registered, as required, for Selective Service, or because the employee was guilty of fraud in regard to the action or deliberately misrepresented or falsified a material matter.

h. OPF (Official Personnel Folder). The official repository of records and reports of personnel actions effected during an employee's civilian government service and documents and papers required in connection with such actions.

i. EPF (Employee Performance File). Performance appraisals and related records maintained in either a separate envelope in the Official Personnel Folder, a separate folder (in whatever office the organization designates), in a supervisor's work folder, on microfiche, in an automated personnel record system, or in any combination of such records maintenance systems. Whatever system or combination of systems the agency chooses constitutes that agency's Employee Performance File System.

j. Subject File. A file, separate from the Official Personnel Folder or Employee Performance File, in which material is filed and retrieved by subject or topic, rather than by employee. Examples of subject files found in a personnel office include grievance files and adverse action files.

k. An Interim Appointment, Promotion, Within-grade Increase, or Other Interim Action provides relief for an employee who prevails in an initial action before the Merit Systems Protection Board (MSPB). It provides an employee with income during the continuation of the appeal process following the initial MSPB decision.

2-3. Reasons for Cancellations and Retroactive Actions.

Cancellations and retroactive actions are most frequently processed to implement decisions resulting from the settlement or resolution of a complaint, a grievance, or an appeal of an adverse action or an arbitral award. They may also be processed when an appointing officer discovers an action the current agency or another agency effected in error (for example, a within-grade increase for an employee who has not completed the required waiting period due to excess time in nonpay status) or an action which should have been processed and was not.

2-4. Implementation of Decision.

a. Decisions of the Merit Systems Protection Board (MSPB.) The Whistleblower Protection Act of 1989 (Public Law 101-12) authorizes interim relief for employees who prevail in their initial appeals of adverse actions, performance-based actions, or other appealable actions before MSPB. Any such interim relief ordered by MSPB is effective on the date the initial decision is issued (see 5 CFR 772.102, 5 CFR 531.414, and Figure 32-3 of this **Guide**). Stays of personnel actions (including retroactive stays) ordered by MSPB where an individual files an individual right of action (IRA) appeal under the Act, claiming reprisal for having engaged in protected activity, are not considered interim relief.

b. Other Decisions. An agency should not delay initiating corrective action in accordance with a decision unless it has sought and been granted a stay. Once the appeals, if any, have been exhausted, the decision must be implemented.

2-5. Decisions that Do Not Require Personnel Actions.

a. Whether it is prepared in paper or electronic format, a Notification of Personnel Action, Standard Form (SF) 50 is the official record that a personnel action has been effected. The employee's payroll records (including retirement, tax, and thrift savings records), are based on and reflect the salary or pay documented on the employee's SF 50. As a result, when an agency prepares a retroactive, a replacement, or a newly-required personnel action (SF 50), the employee who is the subject of the action is entitled to receive the salary or pay shown on that SF 50 (minus the appropriate deductions.) Therefore, when a decision states that an employee is to receive *no* salary or pay for a particular appointment, position or assignment, the agency should *NOT* prepare an SF 50. An SF 50 should be prepared *only* in those instances where the employee is to receive pay and benefits as a result of the action documented on that SF 50.

b. When a decision by a third party makes a monetary award to an employee but does not address personnel actions, or change the individual's appointment status, position, or pay (for example, if a decision merely awards a payment of damages but does not require reinstatement of the employee), no personnel actions are to be processed. Send a copy of the decision to the payroll office and place a copy in the appropriate appeal or other subject file. Do not place a copy of the decision in the employee's Official Personnel Folder.

2-6. Decisions That Require Preparation of Personnel Actions.

ABSENT AN APPEAL TO A FEDERAL COURT, THE DECISION OF A FINAL ADMINISTRATIVE AUTHORITY IS FINAL AND BINDING. An agency should make every effort, in complying with administrative and judicial decisions, to also comply with applicable civil service rules and regulations. For example, if a decision requires that a new position be established at a particular grade level, the agency establishes a position that would be justified under the position classification standards. In these cases, the employee's SF 50 shows the title, series, and grade directed by the decision and position description number assigned by the agency to that "position." A copy of the decision is placed in the agency's position classification files along with the position description itself. The position description should reflect duties and responsibilities which are in accord with the title, series, and grade directed by the decision. A copy of the decision is not placed in the employee's Official Personnel Folder; instead, it is placed in the appropriate subject file.

2-7. Responsibilities of the Agency That Prepares Personnel Actions to Implement a Decision or Take Corrective Action.

a. Determining the Agency That is Responsible for Preparing Personnel Actions. If the employee concerned is currently employed in the Federal Government, the current employing agency is responsible for preparing and distributing the Notification of Personnel Action (Standard Form 50) to implement a decision or take corrective action. The current

employing agency is also responsible for adding documents to or deleting documents from the employee's Official Personnel Folder in accordance with the instructions in this chapter. (When the decision orders the employee moved to another agency, the agency in which the employee is employed on the date of the decision is considered "the current employing agency" for the purposes of these instructions.) If the employee has left the Federal service or is employed in an agency which is not subject to title 5 of the United States Code, the agency against whom a decision is rendered or who is a party to the settlement agreement is responsible for preparing and distributing the personnel actions and taking the necessary actions to implement the decision. (The requirement that the current employing agency prepare the paperwork does not mean that the current employing agency must effect/pay a retroactive benefit.)

b. Responsibilities. The agency that prepares personnel actions to implement a decision or take corrective action is responsible for:

(1) Carrying out any specific instructions in a decision which require the addition or removal of specific documents from the employee's Official Personnel Folder or that direct the preparation and documentation of personnel actions. (Remember, when a decision by a third party awards a payment of damages but does not require a retroactive personnel action, such as a retroactive appointment or promotion, no personnel action is prepared and nothing concerning the payment or decision is placed in the employee's Official Personnel Folder.)

(2) Determining which actions must be canceled, which must be replaced, and what actions are newly required. Actions to be canceled and replace include those which

would have occurred anyway but which carry information regarding the improper assignment, for example a life insurance change which carries references to an organization to which the employee was improperly assigned.

(3) Insuring the reasons for cancellation are explained on the cancellation action and that the retroactive action and related documents in the Official Personnel Folder contain no reference to the reason the action is being processed retroactively - that is, no reference to the error, the grievance, or complaint that is the reason for the retroactive action being processed. The authority cited on a retroactive action is the authority that would have been cited if the action had been processed on or before its effective date. If, on the effective date of the action, the agency would not have had an appropriate authority to take the necessary action (for example, a decision orders the employee assigned to a position in a series for which standards were not issued until a year after the effective date), "Reg. 250.101" is cited as the authority. This is a general "do-what-the-decision-says" authority and its use avoids the need to cite a specific decision, Court Order, or other document which would identify more specifically the employee's original complaint and result in irrelevant information being placed on the action and in the Folder. This protects the employee's privacy and the usual intent of decisions.

(4) Distributing and filing copies of the actions prepared to implement a decision, or take corrective action including:

(a) Removing each canceled action and all its supporting documents (including Standard Forms 52) from the employee's Official Personnel Folder and filing them in the appeal or other appropriate subject file,

along with the Official Personnel Folder copy of the Cancellation action. Retain the actions as long as the subject file is retained; consult the National Archives and Records Administration (NARA) Records Schedule to determine how long a particular file must be kept.

(b) Sending to each prior Federal employer the payroll copies of cancellations, retroactive action, and replacement actions for the period during which the employee was on the rolls of that agency, along with a letter explaining why the actions were processed or a copy of the decision which required the actions. This will enable the prior employer to make appropriate pay adjustments and to take any other actions necessary to complete the corrective process or implement the decision.

(5) Advising the employee in writing that he or she may request a transcript of service be placed in his or her Official Personnel Folder to document the positions to which improperly assigned and any job-related performance awards earned. (See sample letter and transcript in Figure 3-3.)

(6) Counseling the employee on the steps the agency will take to implement the decision and counseling him or her on the advantages/disadvantages of placing in the Official Personnel Folder a record of the positions to which improperly assigned. (Figure 3-2 contains a chart showing the manner in which this service may be credited for various purposes.)

(7) Advising the employee whose Official Personnel Folder contains an application/resume documenting improper service of the need to prepare a new application/resume if he or she does not wish to have improper service documented in his or her Folder.

(8) Placing in the employee's Folder the transcript of service if he or she so requests (see paragraphs **(5)** and **(6)**) or a corrected

application/resume in lieu of one which describes improper service (see paragraph **(7)**.)

(9) Deleting all references to the improper service from the records of training and incentive awards earned during the period of improper assignment. (Follow agency instructions to correct the records. Copies of any erroneous records are filed with the decision and cancelled actions in the appropriate subject file.) Note that while references to improper assignments must be deleted, the employee keeps monies received for incentive awards (such as cash awards), as long as the improper assignment was not the result of fraud or a void action.

(10) Insuring that records of Federal Employees' Group Life Insurance and Federal Employees' Health Benefits Program enrollment agree with the employment record resulting from implementation of the decision.

(11) Insuring that any necessary changes to records in the agency's Employee Performance File (EPF) system are made, following the instructions in title 5 of the Code of Federal Regulations, part 293.

(12) Insuring that back pay awards are computed in accordance with title 5 of the Code of Federal Regulations, part 550, subpart H.

(13) Following instructions issued by the Office of Personnel Management's Retirement and Insurance Group to prepare/alter the employee's Standard Form 2806, Individual Retirement Record or Standard Form 3100, Individual Retirement Record.

(14) Following guidance in title 5 of the Code of Federal Regulations, part 630 to resolve questions regarding leave.

2-8. Counseling and Advising Employees on Documentation of Experience Gained During Period of Improper Assignment.

When the employee was improperly assigned or was employed outside the Federal Government as a result of the action addressed by the decision, the person who counsels the employee regarding implementation of the decision should discuss with him or her the potential value for qualifications and career advancement purposes of the experiences gained during the period of improper assignment.

For example, if a typist worked in another agency as a secretary while appealing a reduction-in force separation, the secretarial duties could be qualifying for other positions in the Federal Government, and it could be advantageous to have this experience noted in the Folder. On the other hand, if the typist worked as a cashier at a local variety store while appealing a separation, he or she might see no value to this experience being recorded in the Folder.

The employee may cite the experience on a future application whether it is recorded in the Official Personnel folder or not. The advantage of recording it in the Folder is that it will be a matter of record there if the Folder is used to identify job candidates or to rate or rank candidates. The disadvantage, of course, is that the presence of this record of service in the employee's Folder serves as a "flag" to a reviewer that the employee complained, grieved, or filed an appeal and may draw unwelcome attention to the original problem.

The decision as to whether or not to record the service in the Folder should be made by the employee on the basis of how valuable he or she feels the experience gained while improperly assigned will be to his or her career advancement plans. Use of dual Standard

Forms 50, those which were originally prepared as well as the ones prepared to implement the decision, provides a confusing record of the two periods of service. If the employee chooses to have the period of improper service recorded, the transcript of service provides the most practical means of doing so. The counsellor should explain to the employee that he or she is being asked to decide about the record at this time in order to establish a complete record of how the decision is implemented and to insure that after the decision is implemented the Official Personnel Folder reflects as nearly as possible the way in which the employee would like to have his or her service history recorded.

2-9. Advice to Employee Regarding Waiver or Overpayment of Pay.

Section 5584 of title 5, U.S. Code, provides for waiver of claim of overpayment of pay to an employee when collection of the overpayment would not be in the best interest of the United States. In the relatively few instances where implementation of a decision results in the employee having received an overpayment, he or she should be advised that the provisions of 5 U.S.C. 5584 may apply.

2-10. ADP Records and Systems.

The agency that implements a decision is responsible for taking whatever action is necessary to insure that its automated personnel records and systems reflect only the "corrected" employment history and that all references to cancelled actions have been deleted from those records and systems.

2-11. Questions Regarding Unusual Cases.

An agency's Human Resources Office may refer questions regarding the manner in which personnel actions should be processed to implement decisions to the Deputy Associate Director, Center for HR Systems

Requirements & Strategies at owi@opm.gov. Refer questions regarding legal issues that must be resolved before actions to implement a decision can be processed to the Office of Personnel Management's General Counsel for resolution.

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Subchapter 3. Electronic Forms and Signatures

3-1. Approvals to Use Electronic Personnel Forms

a. Definitions. An “electronic form” encompasses both the format and the data element content of a form when stored on a digitized computer processible medium, including magnetic and optical disks, magnetic tape, or any other computer accessible storage device. As used here:

(1) “Form” and “electronic personnel form” mean only personnel-related forms.

(2) “Electronic form” includes both forms originally created in an automated process as well as forms made digitally processible by the use of optical scanning equipment.

b. Using automated technology to create an electronic personnel form. The Federal Information Resources Management Regulation 201-9.202-1, Bulletin 3, Revision 1, “Exceptions to Standard and Optional Forms,” authorizes agencies to create electronic personnel forms without obtaining prior approval from the General Services Administration (GSA) or the Office of Personnel Management *provided* the electronic version is an exact reproduction of *and* is printed on the same size and color paper as the current approved edition. Additions to or deletions of data from the current form, changes in sequence or format of data require prior approval. Send requests for approval through your agency’s Standard and Optional Forms Liaison to:

**OPM Reports and Forms Manager
Office of the Chief Information Officer
U.S. Office of Personnel Management
Washington, DC 20415-7900**

The Office of Personnel Management's Deputy

Associate Director, Center for HR Systems Requirements & Strategies is the program official responsible for:

- Standard Form 50, Notification of Personnel Action;
- Standard Form 52, Request for Personnel Action;
- Standard Form 61, Oath of Office;
- Standard Form 75, Request for Preliminary Employment Data; and
- Standard Form 144, Statement of Prior Federal Service.

Agencies may expedite approvals by submitting a copy of any requests concerning these forms to:

**U.S. Office of Personnel Management
Division for Strategic Human
Resources Policy
Deputy Associate Director,
Center for HR Systems
Requirements & Strategies
1900 E Street, NW.
Washington, DC 20415-6000.**

Exception requests should include a sample copy of the form. Each request should also describe how the criteria and procedures in the remainder of this chapter will be met.

c. Approval to use electronic forms does not automatically include approval to destroy any paper records that are created. Destruction of source paper records that are converted to electronic media in advance of the disposition schedules in National

Archives and Records Administration General Records Schedule #1, Civilian Personnel Records, must be approved by the Office of Personnel Management and the National Archives and Records Administration prior to actual destruction. Destruction of electronic records covered by Office of Personnel Management authorities must be in accordance with General Records Schedule #1; or by specific agreement with the Office of Personnel Management. The National Archives and Records Administration is the final authority on records disposition schedules. Assistance in interpreting General Records Schedule #1, or in developing record disposition schedules for civilian personnel records not currently covered by a General Records Schedule, may be arranged by contacting:

**U.S. Office of Personnel Management
Division for Strategic Human
Resources Policy
Deputy Associate Director,
Center for HR Systems
Requirements & Strategies
1900 E Street, NW.
Washington, DC 20415-6000.**

3-2. Criteria for Use of Electronic Forms.

a. An agency that stores Official Personnel Folder, Employee Medical Folder, or Employee Performance File forms electronically must store them in such a way that, when a paper copy is needed, that copy looks essentially like the original approved Office of Personnel Management, standard, or agency form.

(1) The electronic reproduction must be complete, containing all instructions and questions that appear on the approved form. The wording and punctuation of all items and instructions must be exactly the same as the

current version of the form, and the sequence, format and spacing of each item on the form must be reproduced to the highest degree possible. For multi-page forms, each item must print on the same page in approximately the same location as on the original form, but each page may be printed on a separate sheet. The reproduced copy must be printed in black ink on letter size white paper.

(2) The agency must be able to produce a paper copy, regardless of the date on which it was originally prepared, when:

(a) an employee requests a copy of one or more records in his or her Official Personnel Folder, Employee Medical Folder, or Employee Performance Folder; or

(b) an employee separates from Federal service or moves to an agency that does not use electronic forms; or

(c) the Office of Personnel Management requests a copy for evaluation or other purposes.

(3) Electronic versions of Office of Personnel Management-controlled forms (for example, the Standard Form 50 and Standard Form 52) must use only the data element coding contained in [The Guide to Personnel Data Standards](#).

b. There must be strict controls on who may originate a document electronically, who may cancel or change it, and who has access to it.

c. The agency must certify that all National Archives and Records Administration disposition schedules are/will continue to be met by the electronic forms system.

d. Since automated media have vulnerabilities to inadvertent destruction not applicable to paper records, the agency must have a system (processable media or paper) to produce back-up records. The Office of

Personnel Management recommends that a back-up file be in a separate computer environment from the primary system — off-site if appropriate.

e. The system must be able to amend, delete, or add forms, and to add data to individual forms when required to respond to a Privacy Act amendment request or to comply with a settlement agreement or court order.

f. In addition to being able to produce paper copies of individual forms upon request (see paragraph 3-2a(2)), an agency must be able to list each existing, electronically-prepared Standard Form 52 and Standard Form 50, by data subject, for at least two years after the date that the electronic form was executed.

g. The agency must retain all original signed designation of beneficiary *paper* forms for the Civil Service Retirement System (CSRS), Federal Employees Retirement System (FERS), and Federal Employee's Group Life Insurance (FEGLI) program. (Under current procedures, only the signed originals are acceptable when a claim is filed.)

3-3. Authentication Procedures.

a. Electronic authentication codes must be unique to the individual and defined only for those whose positions authorize and require them to initiate, sign or clear a personnel action.

b. When a person leaves a position for which an authorization code has been issued, the authorization must be cancelled immediately.

c. For each form that was cleared or signed electronically, there must be an audit trail to show *when* and *who*:

- (1) signed/approved,
- (2) cleared,
- (3) input data to, and/or

(4) changed data on the form.

d. A complete list of authentication codes and the names and titles of the individuals to whom they have been assigned must be available to Office of Personnel Management evaluators for at least two years after the date of a personnel action. The list must include names, titles, and codes designating persons for whom authorizations have been cancelled, as well as current authorizations.

e. The individual with delegated appointing authority remains the responsible official for insuring that authentication procedures and the personnel actions to which they lead are proper and meet the requirements in law.

3-4. Electronic Signatures.

a. A personnel action is the official record of employment and authorization of pay to the employee. The action must be approved on or before its effective date; the approval may be documented by a “signature” in either Part C-2 of the Standard Form 52 or in block 50 of the Standard Form 50. Because effective dates and approvals of personnel actions must be able to withstand administrative and legal challenge, any electronic approval signature system used in Part C-2 of the Standard Form 52 or in block 50 of the Standard Form 50 ***must be approved by the Office of Personnel Management.***

b. To be approved, an electronic signature system must include the following features:

(1) The electronic signal or symbol adopted as the approving official's signature must be unique to the signer, that is, it must be initiated by methods that distinguish the specific approving official, and it must be under his or her sole control.

(2) The electronic signature must be capable of being verified and must be linked to the data being transmitted, including the approval date (block 49 of the Standard Form 50, Notification of Personnel Action). Control procedures must be in place to insure the authenticity of data on the form, including the electronic signature. Such controls must provide reasonable assurance that deliberate or inadvertent manipulation, modification, or loss of data on the electronically stored form is detected. (For additional information, see Federal Information Processing Standard (FIPS) 113, Computer Data Authentication, and FIPS 186, Digital Signature Standard, dated 12/1/94).

(3) The approving official's name and title must be printed on any paper document that is

generated for the employee or for the Official Personnel Folder.

c. Requests for prior approval to use an electronic signature, in lieu of a personally signed paper Standard Form 50, Notification of Personnel Action, or Standard Form 52, Request for Personnel Action, must be submitted to:

**U.S. Office of Personnel Management
Division for Strategic Human
Resources Policy
Deputy Associate Director,
Center for HR Systems
Requirements & Strategies
1900 E Street, N.W.
Washington, DC 20415-6000**

4-1. Appointments to Federal Civil Service Positions.

Except for those described in Table 3-B, appointments may not be effective prior to the date of approval by the appointing official. Additionally, appointments to positions in the civil service are effective only from date of acceptance and entrance on duty, unless a later date is stated on the Standard Form 52, Request for Personnel Action, or other approving document.

4-2. Date of Acceptance.

Acceptance may be shown by formal acceptance, by entry on duty, or by taking the oath of office. Date of acceptance is the date the applicant accepts, either orally or in writing, the appointment offer. When the employee reports for duty or takes the oath of office, acceptance of the position is acknowledged on that date even though a formal acceptance is not given by the employee.

4-3. Entrance on Duty (EOD).

a. Entrance on duty is the process by which a person completes the necessary paperwork and is sworn in as an employee.

b. Appointment Documents. The job aid, **Appointment Documents and Information**, lists materials that a new employee will need. Supplement that list with any documents required by your agency. If necessary, assist the appointee in completing the forms. Encourage the appointee to keep all copies of the personnel and payroll notices he or she receives from the agency.

c. Oath of Office.

As part of the entry-on-duty process, the employee takes the oath of office. The Standard Form 61, Appointment Affidavit, contains the oath of office (part A) required by 5 U.S.C. 3331, the affidavit on striking against the Federal Government (part B) required by 5 U.S.C. 7311, and the affidavit on purchase and sale of office (part C) that 5 U.S.C. 3332 requires officers to complete.

(1) The form is completed and filed on the right side of the Official Personnel Folder when the employee is first appointed in the Federal Government and for each subsequent new appointment in any agency (including appointment by transfer, reinstatement, and restoration). A Standard Form 61 is not required when there is a change in an employee's status (such as a conversion to a new appointment) as long as service is continuous in the same agency. A new Standard Form 61 is not required when the employing office or agency changes as a result of a transfer of function, either. However, an agency may request that the form be completed even if it is not required.

(2) The oath and affidavits are executed when the appointee enters on duty and are given by a notary or by a Federal official or employee of your agency who has, or has been delegated, responsibility to administer oaths (see 5 U.S.C. 2903). United States citizens must swear to or affirm the oath of office and the affidavit in part B; aliens must swear to or affirm the affidavit in part B. Persons appointed as "officers" must swear to or affirm the oath of office and the affidavits in parts B and C. ("Officers" are justices and judges of the United

States and individuals who are required by law to be appointed by the President, a court of the United States, the head of an Executive agency, or the Secretary of a military department; persons appointed as “officers” are invested by law with authority delegated from the heads of departments or independent establishments.)

(3) If the appointee objects to the form of the oath on religious grounds, certain modifications may be permitted pursuant to the Religious Freedom Restoration Act. Please contact your agency’s legal counsel for advice. The jurat at the bottom of the form must be signed by each appointee and completed by the person who administers the oath or affidavits.

(4) The Civil Service oath of office in part A contains the phrase “defend the constitution.” In the case of *Girouard vs. United States*, 328 U.S. 61 (1946), the U.S. Supreme Court held that the oath of allegiance to the United States of American (taken by all candidates for citizenship) “does not in terms require that they promise to bear arms.” Explain to any appointee who questions the meaning of, or objects to, that part of the oath that the “defend the Constitution” phrase in the Civil Service oath of office does not imply that the appointee would be expected to bear arms.

(5) Obtain an original and a copy of the Standard Form 61 when the oath and affidavits are executed by cabinet officers and heads of independent establishments, agencies, and offices. After the oath has been taken and the form executed, send the copy to the Department of State.

d. The Standard Form 144. The Statement of Prior Federal Service (Standard Form 144) should be completed by each employee new to your agency. It identifies any prior service for which records must be located.

e. Personnel Folders. Follow instructions in [The Guide to Personnel Recordkeeping](#) to establish a personnel folder for each new employee or to obtain the existing Folder for each employee with prior Federal Service. Use the **Guide** to file correctly the forms completed during the entry-on-duty process.

4-4. Obtaining Personnel Information from the Prior Employing Agency.

a. If the person is being appointed without a break in service from another Federal agency, certain information is needed to process the appointment action. However, the Official Personnel Folder is not usually available for immediate review by the gaining office. In such cases, the information needed for processing the personnel action may be obtained by using the Standard Form 75, Request for Preliminary Employment Data. Personnel information provided on the Standard Form 75 can help prepare an appropriate appointment package for when the candidate enters on duty.

b. When a Standard Form 75 is needed:

(1) Contact the personnel office that has the person’s Official Personnel Folder. To help you find the correct office, ask the appointee where the folder is kept. The information for completing the Standard Form 75 may be received through a telephone call or the form may be mailed to the prior employing office.

(2) Refer the completed Standard Form 75 to the personnel specialist for review and then copy any needed data from the Standard Form 75 onto the Standard Form 52, Request for Personnel Action.

(3) File the Standard Form 75 received from the losing agency according to agency instructions.

Job Aid

Appointment Documents and Information

Introduction Regardless of whether your agency uses a reappointment package, a type of electronic forms processing, or entry-on-duty orientation session, new employees must complete certain documents and should receive certain employment information.

**Documents
for all new
employees**

All new employees must complete the following:

- **Standard Form 61, Appointment Affidavit.**
Refer to section 4-3c of this chapter for instructions.

- **Optional Form 306, Declaration of Federal Employment.**
Check with your agency security office for requirements on completing this document.

- **Standard Form 144, Statement of Prior Federal Service.**
Since applications and resumes may include only that employment history relevant to the position for which appointed, information provided on the Standard Form 144 will help in determining whether personnel records need to be located.

- **Statistical data** for race, national origin, and handicapping conditions.

Standard Form 181, Race and National Origin Identification. Do not use the Standard Form 181 for employees in Hawaii; use the Office of Personnel Management Form 1468, Race and National Origin Identification, instead.

Standard Form 256, Self-Identification of Handicap.

Refer to Chapter 4 of this **Guide** for instructions on entering these data into your agency's automated personnel system.

Continued on next page

Job Aid**Appointment Documents and Information, continued**

As appropriate

When applicable, employees must complete certain documents from which employment eligibility is verified, including:

- **Form I-9, Employment Eligibility Verification.** Refer to the Immigration and Naturalization Service's Handbook for Employers and 8 CFR, part 274a for completing and retaining the Form I-9.
- **Applicant's statement of Selective Service registration status.** When candidate is a male whose year of birth is 1960 or later, failure to register may be basis for bar from civil service employment. Refer to 5 CFR 300.705 for instructions.
- **Statements of Employment and Financial Interests.** Appointees to positions at high grade levels in some agencies and appointees to some positions in agencies that have regulatory responsibilities, may be required to submit statements of financial holdings or of investments. Follow your agency's instructions.
- **Agency regulations regarding employee conduct.** Follow your agency's instructions for any requirements used to certify that new employees are familiar with the agency's regulations.

For certain appointments

Depending on the type of appointment, the employee may need to complete documents for the following.

- **Civil Service retirement coverage.** Refer to the [CSRS and FERS Handbook for Personnel and Payroll Offices](#) , supplemented by Benefits Administration Letters, for instructions.
- **Federal Employees Health Benefits Program.** Refer to the [Federal Employees Health Benefits Handbook for Personnel and Payroll Offices](#) and Benefits Administration Letters to determine the employee's eligibility for coverage and required documents.

Continued on next page

Job Aid**Appointment Documents and Information, continued**

For certain appointments continued

- **Federal Employees Group Life Insurance Program.** Refer to **The Federal Employees Group Life Insurance - A Handbook for Employees, Annuitants, Compensationers and Employing Offices** and Benefits Administration Letters to determine the employee's eligibility for coverage and required documents.

 - **Payroll related documents.** Contact your payroll office to determine what forms should be provided to new employees upon entry on duty for tax withholding, allotments, direct deposit of payroll check, and savings bonds. Provide an employee new to your agency with a copy of Standard Form 1152, Designation of Beneficiary, Unpaid Compensation of Deceased Civilian Employee.
-

About rights and benefits

Provide the new employee with information on his/her rights and benefits. Types of this information includes Office of Personnel Management or agency publications concerning:

- the Code of Ethics for Government Service,
 - employee obligations,
 - pay,
 - employee's job and performance,
 - promotion and incentive awards program,
 - leave,
 - rights and benefits (including the retirement system),
 - safety, and
 - health and life insurance.
 - reemployed annuitant responsibilities (see Figure 3-4, and the **CSRS and FERS Handbook for Personnel and Payroll Offices**).
-

Continued on next page

Job Aid

Appointment Documents and Information, continued

Other benefits

New employees should also be given information about the following benefits.

- **Unemployment Insurance benefits.** The Department of Labor requires that the following statement be given to each newly hired and rehired Federal employee:

“If you have applied for or have been receiving Unemployment Insurance benefit payments, it is your responsibility, under penalty of law, to notify the appropriate local office, in writing, to discontinue the issuance of Unemployment Insurance checks now that you are employed. Failure to notify the State agency can result in a penalty such as a fine, imprisonment, or both.”

- **Thrift Savings Plan**, including enrollment and designation of beneficiary forms, if employee will be eligible to participate in the plan.
 - **Designation of beneficiary** forms for any retirement system by which the employee will be covered.
-

Miscellaneous employment information

Employees should be given information about local benefits or activities that they may find interesting, for example:

- **Information regarding the employee recreation association.** This is particularly important if parking facilities or other services are available only to recreation association members.
- **Information regarding other agency-sponsored organizations** whose membership is open to all employees (Toastmasters, for example).
- **Pay and leave chart** or calendar showing Federal holidays and paydays for the year.
- **Information regarding credit union** and/or any banking facilities located at employee's place of employment.

Job Aid

Appointment Documents and Information, continued

**Miscellaneous
employment
information,
continued**

- **Information regarding health services** available to employees.
 - **Any form the agency uses to record** name of person(s) to be notified in the event of an emergency, and application for, or instructions regarding how to obtain application for, employee identification card.
-

**When
package
becomes
bulky**

If you find that the appointment package is becoming too bulky, put in only the most important flyers and brochures (in addition to the forms the appointee must complete) and tell the employee about the others and where they can be obtained. This can be done by means of a list placed in the appointment package or through discussion during the entry-on-duty process.

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Table 3-A. Setting Effective Dates

R U L E	<i>A</i>	<i>B</i>	<i>C</i>
	<i>If</i>	<i>And</i>	<i>Then Effective Date May Be</i>
1	A list form of notice is used to document the action		No earlier than the effective date specified in the document that authorized the action.
2	Action is a noncompetitive conversion to career or career appointment	Conversion does not require the prior approval of the Office of Personnel Management	No earlier than the date on which employee met all of the requirements for conversion.
3		Conversion does require the prior approval of the Office of Personnel Management	No earlier than the date on which the Office of Personnel Management approved the conversion.
4	Conversion is to an appointment under which the employee will have fewer rights and benefits	Conversion is from an appointment in the competitive service to one in the excepted service	Any date after employee has: (a) been informed that, because the position is in the excepted service, it cannot be filled by competitive appointment and that acceptance of the proposed appointment will take the employee out of the competitive service; <i>and</i> (b) submitted a written statement that the employee is leaving the competitive service voluntarily to accept an appointment in the excepted service.

Table 3-A. Setting Effective Dates (Continued)

R U L E	A	B	C
	<i>If</i>	<i>And</i>	<i>Then Effective Date May Be</i>
5	Conversion is to an appointment under which the employee will have fewer rights and benefits	Conversion is not described in Rule 4	Any date after employee has: (a) been informed in writing of the conditions of employment under the new appointment; and (b) submitted a written statement that the employee is leaving previous employment voluntarily to accept conversion to the new appointment (statement should specify the type of appointment employee is leaving and the type the employee is accepting).
6	Action which is not described in Rules 1-5 requires prior approval of the Office of Personnel Management		No earlier than the date on which the Office of Personnel Management approved the action unless that approval specifies an earlier effective date.
7	Conversion is to a career or career- conditional appointment when employee's position is brought into the competitive service		No earlier than the date on which the position was brought into the competitive service.
8	Action requires an advance notice to the employee (for example, 30-day advance notice of decision on a proposed adverse action)		No earlier than the expiration of the notice period

Table 3-B Effective Dates Set without Prior Approval of the Appointing Officer

<i>R U L E</i>	<i>A</i>	<i>B</i>
	<i>If Action is</i>	<i>Then Effective Date Is</i>
1	Required by law, Executive order, or regulation	The date specified in the law, Executive order, or regulation (see Note 1 of this table).
2	Required by court action, settlement agreement, or arbitral award	The date specified in the action, agreement, or award (see Note 2 of this table).
3	Required by an Office of Personnel Management (OPM), Merit Systems Protection Board (MSPB), Equal Employment Opportunity Commission (EEOC), or Federal Labor Relations Agency (FLRA) decision	The date specified in the decision.
4	A death	The date of death shown on the death certificate
5	A resignation	The date set by the employee. Unless employee specifies otherwise, a resignation is effective at midnight.
6	A disability retirement	See instructions in Chapter 60 of The CSRS and FERS Handbook .
7	A mandatory retirement	The last day of the month in which the employee reaches the age and completes any length-of-service requirements for the retirement system under which he or she is covered. When employee had an earlier exemption from mandatory retirement, the retirement is effected on the day following the NTE date of the Continuance NTE action documenting that exemption (see Note 3 of this table).
8	A retirement that is not described in Rules 6 or 7	The date set by the employee, provided that on that date employee meets age and length of service requirements for the retirement system under which he or she is covered.
9	Change in tenure or appointment based on completion of service requirements for career or permanent tenure	The day following that on which the service requirement is completed

**Table 3-B. Effective Dates Set without Prior Approval of the Appointing Officer
(Continued)**

RULE	A	B
	<i>If Action Is</i>	<i>The Effective Date Is</i>
10	Conversion to a competitive service appointment when an employee who has competitive status occupies an excepted service position that is brought into the competitive service	The date the position is brought into the competitive service.
11	Change in FEGLI	The date prescribed in 5 CFR part 87 and in The Federal Employees Group Life Insurance Handbook
12	Pay Adjustment to implement a new pay plan or to change the rates for an existing pay plan	The date set by the Executive order, Office of Personnel Management, or an agency issuance the established the plan or announced the rates.
13	Change to Lower Grade following a temporary promotion	The day following the NTE date of the temporary promotion <i>unless</i> the appointing officer approves another action.
14	Termination of Grade Retention	At the end of the two-year period of grade retention (for example, if grade retention begins 07-23-1994, the termination action is effective on 07-22-1996 at midnight).
15	Leave Without Pay (LWOP), <i>except</i> during a Reduction-in-Force notice period or for assignment to State or local government under the Intergovernmental Personnel Act	The date approved by the employee's supervisor (or other official designated by the agency) on the Standard Form 52.
16	Return to duty from LWOP or nonpay status	
17	Detail or Termination of Detail	
18	Change in Work Schedule	
19	Change in Hours for an employee with a part-time work schedule	

NOTES:

1. When an effective date is not specified, the effective date set by the agency may be on or after the effective date of the law, regulation or Executive order.
2. When an effective date is not specified, the effective date set by the agency may be on or after the effective date of the court action, agreement or award.
3. 5 U.S.C. 8335 and 8425 require that the employee be notified at least 60 days in advance of the separation date. When the notice is not issued 60 days in advance, the employee cannot be separated, without his or her consent, until the last day of the month in which the 60-day notice expires.

Figure 3-1. Comptroller General (GC) Decisions Concerning Effective Dates

Topic	Decision Number(s)
Prior approval for appointment	18CG907 and 20CG267
Oath of office to be taken before employee can be paid	21CG817
Holiday pay when conversion action is involved	30CG344
Move to another agency	34CG428
Transfers where travel and transportation expenses are concerned	26CG862
Relation of effective date to entry on duty date	24CG150 and 45CG660
Prior approval for promotion	3CG559 and 9CG20
Promotion that follows a detail	24CG563
Salary change resulting from allocation or reallocation of a position	30CG156
Compensation for services rendered prior to appointment	8CG582 and 20CG267
Compensation for service during an interval between appointments	17CG323

Figure 3-2. How and When to Credit Service for Qualifications and Civil Service Benefit Purposes

Proper for which credit is given	Period during which employee served improperly when the action is allowed to stand		Period in which person served but was not appointed (See Note 2 below)	Period covered by decision ordering person placed retroactively in a position/appt. In which they have not served
	Credit from effective date of improper action (See Note 1 below)	Credit from date the improper action is corrected		
Qualifications (experience)	yes	no	yes	Credit as if employee had actually served in the position/appointment
Reinstatement eligibility	no	yes	no	
Time-in-grade				
Career Tenure				
Completion of initial appointment or supervisory/managerial probation	yes	no		credit time employee actually served on the position/appt. for which the probation is required
Service Date-Leave				Credit as if employee had actually served in the position/appointment
Service Date-Reduction-in-Force				
Service Date-Retirement				
Within Grade Increase waiting period				
Leave Accrual				
Health Benefits				
Life Insurance				
Workers' Compensation				
Service - Severance Pay				

NOTES:

1. When the appointment is void (for example, made in violation of an absolute statutory prohibition or the employee was guilty of fraud in regard to the appointment or deliberately misrepresented or falsified a material matter). NO credit may be given for service in the appointment.
2. Person is entitled to be paid for service performed.

Figure 3-3. Sample Letter to an Employee Who is the Subject of a Decision

(Employee's address)

Dear (employee)

As part of the implementation of (cite settlement agreement, order, arbitral award or decision, and its date), we must cancel and remove from your Official Personnel Folder (OPF) the Notifications of Personnel Action and the related documents and /or records of non-Federal employment, for each affected personnel action or non-Federal job. This will leave you with a "clean OPF," one which contains no references to the period of improper service or non-Federal employment.

Even though the jobs, training courses completed, or awards earned during the period you were improperly assigned or employed outside the Federal Government are not shown in your OPF, you may, of course, list them on future applications when you think the experience, etc., will be benefit to you.

The enclosed transcript of service lists your service during the period when you were improperly assigned or employed outside the Federal Government. If you think you will want to have this service recorded in your OPF to use for qualifications and career advancement purposes in the future, you can authorize the placement of the transcript in your OPF.

Please review the transcript and decide whether you want it placed in your OPF; (Name and telephone) will discuss with you the advantages of recording this period of service in your OPF. After you have made your decision, sign and date the appropriate statement below, and return the signed original of this letter to me by (date). If you elect to have the transcript placed in your folder, the original copy should be returned along with the copy of this letter containing your signed statement.

Sincerely,

(name, title, and agency of appointing officer who will sign or authenticate the cancellation actions)

Enclosure: Transcript of Service

Figure 3-3. Sample Letter to an Employee Who is the Subject of a Decision (continued)

I have been counselled regarding the advantages and disadvantages of placing my Official Personnel Folder (OPF) a transcript of service covering the period from (date) to (date) when I was improperly assigned or employed outside the Federal Government, and

Q I believe that my work experience during the period when I was improperly assigned or employed outside the federal Government may be of value in the future. Therefore, I request that the enclosed transcript of service, which summarizes that service, be made a permanent part of my OPF.

Q I do not believe that my work experience during that period when I was improperly assigned or employed outside the Federal Government will be of value in the future. Therefore, I request that no record be placed in my OPF to describe my actual service during that period. I understand that if I change my mind in the future, records of the assignments on which I actually served may no longer be available to place in my OPF.

(name)

(date)

Figure 3-3. Sample Letter to an Employee Who is the Subject of a Decision (continued)

(agency letterhead)

TRANSCRIPT OF SERVICE

Through no fault of his (her) own, (name of employee) was improperly assigned to the position(s) listed below and/or employed as described below for the period(s) indicated.

Position (include title, series, and grade, if Federal service)	Agency/employer	Dates (From/To)
--	------------------------	---------------------------

This service will be credited for qualifications and civil service benefit purposes as described in Chapter 3, Figure 3-2, of **The Guide to Processing Personnel Actions**.

/S/

(name, title, agency, and Personnel Office Identification of appointing officer who will sign or authenticate the cancellation actions.)

(Type the following statement:)

THIS DOCUMENT IS TO BE FILED PERMANENTLY ON THE RIGHT SIDE OF THE EMPLOYEE'S OFFICIAL PERSONNEL FOLDER.

Figure 3-4. Notice Required for Appointment of a Civilian Retiree

R U	A	B
L E	If retirement was under	Then
1	Civil Service Retirement System or Federal Employees Retirement System	Send "Notification of Reemployment of an Annuitant," along with copy of appointment Standard Form 50, Notification of Personnel Action, to the Office of Personnel Management. See Job Aid #5 in chapter 100 of the CSRS and FERS Handbook for Personnel and Payroll Offices for copy of notification form and address to which it must be sent.
2	Central Intelligence Agency Retirement and Disability System	Send copy of appointment Standard Form 50 to Central Intelligence Agency Retirement and Disability System, Washington, DC 20 505.
3	Foreign Service	Send 2 copies of appointment Standard Form 50 to Retirement Division, Bureau of Personnel, Department of State, Washington, DC 20520.
4	Another retirement system	Contact the agency that administers the system to ask what notice is required.

Chapter 4. Requesting and Documenting Personnel Actions

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Chapter 4. Requesting and Documenting Personnel Actions

1. Coverage.

This chapter explains how to complete the Standard Form 52, Request for Personnel Action, and the Standard Form 50, Notification of Personnel Action.

2. Standard Form 52, Request for Personnel Action.

The Standard Form 52 is a single sheet version of the form that is used when the request will be hand-written or typed. The Standard Form 52-B is a continuous pinfeed version on which data can be computer-printed and is used when the request is prepared directly from the agency's personnel data system. As used in this **Guide**, "Standard Form 52" means both the Standard Form 52 and the Standard Form 52-B. A sample of the Standard Form 52 is reproduced on page 4-11 of this Chapter.

a. How the form is used.

(1) Supervisors and managers use the form to request

- position actions, such as the establishment of a new position or the reclassification of an existing position;
- employee actions, such as the appointment of an employee or the promotion of an employee; and
- actions involving both a position and an employee, such as the establishment and filling of a position, or the reclassification of a position and reassignment of an employee to the reclassified position.

(2) Employees use the form to notify the agency of their resignation or retirement, to request Leave Without Pay (LWOP) and to request a name change.

(3) The personnel office uses the form to record staffing, classification, and other personnel determinations, and then uses the information on the form to prepare the Notification of Personnel Action.

b. How to complete the Standard Form 52.

Follow the instructions in job aid **Instructions for Completing the Standard form 50 and For Completing Part B (blocks 1-44) and Parts C, E, and F of the Standard Form 52**, when completing the Standard Form 52. Also use job aid, **Instructions for Completing Parts A, B (blocks 45-51), and D of the Standard Form 52**, for completing those parts of the Standard Form 52 which contain data that is not recorded on the Standard Form 50.

3. Standard Form 50, Notification of Personnel Action.

The Standard Form 50 is used to document employment events. It is available in several versions. As used in this **Guide**, "Standard Form 50" means any version of the form. The Standard Form 50 is a 5-part form designed to be completed by typewriter. The Standard Form 50-B is a continuous pinfeed form that comes in both 5-part and 3-part versions. The copies in the 5-part Standard Form 50 and

Standard Form 50-B are marked as Employee, Official Personnel Folder, Payroll, Chronological Journal File, and Utility copies. The copies in the 3-part Standard Form 50-B are marked as Employee, Official Personnel Folder, and Chronological Journal File copies. Agencies may use whichever version of the form suits their needs. The Office of Personnel Management does not require agencies retain a Chronological Journal File of personnel actions. Agencies may do so at their option. Unused copies of the Standard Form 50 should be destroyed in a way that protects employees' privacy. A sample of the Standard Form 50 is reproduced on page 4-13 of this chapter.

a. Use of the Standard Form 50. A Standard Form 50 is generally used as the long-term Official Personnel Folder documentation of personnel actions. Documentation of the following actions is *not* authorized for long-term Official Personnel Folder retention:

- Exception to Reduction in Force Release;
- Realignment;
- Recruitment Bonus;
- Relocation Bonus;
- Referral Bonus;
- Individual or Group Time Off Award;
- Foreign Language Award;
- Individual or Group Suggestion/Invention Award;
- Travel Savings Incentive Award;
- Individual or Group Cash Award; and
- Senior Executive Service Performance Award.

All other actions in this **Guide** are to be documented for long-term retention in the Official Personnel Folder. The Official Personnel Folder documentation should be

either:

- (1) A Standard Form 50;
- (2) An exception to the Standard Form 50, approved by the Office of Personnel Management (see section >5<),
- (3) a list form of notice (see section >6<), or
- (4) one of the alternative forms of notice described for pay adjustments in Chapter 17.

b. Additional copies of Notifications of Personnel Action. Duplicate or additional copies of personnel action notices increase the possibility for unwarranted invasion of employee privacy and unauthorized use of personal employee data on the form. Therefore, agencies may *not* reproduce additional copies of personnel action notifications unless the extra copy is authorized by the Office of Personnel Management, for example, as a “pick-up Standard Form 50” to notify an agency that you have hired one of its employees or to comply with the requirements in Figure 3-4. Both the Standard Form 50 and Standard Form 50-B are available in a version with a “utility” copy that may be used to meet any special needs your agency may have.

4. Completing the Standard Form 50.

a. Employee Name. (1) The general rule on use of a name on an employee's records is consistency: show the employee's name in the same way on all Government records. The name to record on official personnel records for an appointee is the name commonly used in the community where the appointee resides, for example, the name entered on application papers and used for social security records, driver's license, income tax purposes, and

bank accounts. A married female may elect to use her maiden name as her last name provided that she uses the same name on all employment and employment-related records. If application papers reflect a nickname enclosed in parentheses or quotation marks, it is not considered part of the employee's name for personnel records.

(2) The name is recorded on the Official Personnel Folder and on Notifications of Personnel Action in the following manner:

LAST NAME [comma] SUFFIX (Jr., Sr., etc.) [comma] [space]
FIRST NAME or INITIAL [space]
MIDDLE NAME(s) or initial(s) examples:

DOE, Jr., JOHN NMN
MARTIN, M. CATHERINE
O'REILLY, JOHN F.X.
MARTINEZ-SMITH, MARIA ELENA

When a personnel document asks for a middle name or initial, and the employee has no middle name or initial, enter "NMN." Record apostrophes and hyphens or spaces between double names only as used by the employee. Do not use titles, such as "Mr.," "Ms.," "Miss," "Dr.," and "Professor," on Notifications of Personnel Action or on the Official Personnel Folder.

b. Effective Dates. (1) Except as explained in Table 4-A, no personnel action can be made effective prior to the date on which the appointing officer approved the action. That approval is documented by the appointing officer's pen and ink signature or by an authentication, approved by the Office of Personnel Management, in block 50 of the Standard Form 50, or in Part C-2 of the Standard Form 52. By approving an action, the appointing officer certifies that the action meets

all legal and regulatory requirements and, in the case of appointments and position change actions, that the position to which the employee is being assigned has been established and properly classified.

(2) Unless otherwise indicated on the Notification of Personnel Action, separations and actions to terminate grade and pay retention are effective at the end of the day (midnight); all other actions are effective at the beginning of the day (12:01 a.m.).

Separations are actions that remove employees from the rolls of their agencies, for example, deaths, resignations, terminations, removals, and retirements. Any action whose nature of action code (NOAC) begins with a "3" is a separation.

(a) Follow instructions in Table 4-A to set dates in situations where approval of the appointing officer is required. Use job aid, **Comptroller General (CG) Decisions Concerning Effective Dates**, to identify Comptroller General decisions that address effective dates and how they are set in specific situations.

(b) Follow instructions in Table 4-B to set dates in those situations where prior approval of the appointing officer is not required.

c. Approval of Personnel Actions. (1) As explained in paragraph 4b, most personnel actions must be approved by the appointing officer on or before their effective dates. An appointing officer is an individual in whom the power of appointment is vested by law or to whom it has been legally delegated. Only an appointing officer may sign and date the certification in Part C-2 of the Standard Form 52 or blocks 50 and 49 of the Standard Form 50 to approve an action.

(2) Under 5 U.S.C. 302, the head of an agency may delegate appointing authority to subordinates. Such delegations are generally made to the agency's director of personnel who then re-delegates the authority to other members of the personnel staff, as necessary. A delegation of appointing authority may be made to a specific individual or to the incumbent of a specific position. The delegation must be in writing and define clearly the extent of the authority being granted, for example, authority to approve all within-grade increase actions.

(3) The appointing officer is responsible for ensuring that each personnel action he or she approves meets all legal and regulatory requirements. He or she is responsible for approving determinations made by recruiters, staffing specialists, personnel assistants, and other personnel office staff with regard to legal authority for the action, qualifications, pay, suitability, etc. The appointing officer makes final pre-appointment determinations regarding citizenship, veterans' preference, minimum and maximum age limits (where appropriate), suitability, qualifying experience and education. In the case of appointments and position change actions (for example, promotions), the appointing officer ensures that the position to which the employee is assigned has been established and properly classified.

(4) Agencies must ensure that appointing authority (the authority to approve and certify actions) is delegated only to persons whose training and experience enable them to review the background material on a proposed action and determine whether it meets the necessary legal and regulatory requirements. Approval of actions is a serious responsibility that should not

routinely be assigned to clerical or other technical support personnel who may lack the necessary background and training to make the decision to approve or disapprove an action. A person who has not been a party to the recruitment, qualification, selection, and pay-setting processes on a proposed action, and who lacks information as to how these determinations were reached, cannot and should not be expected to decide whether the specific action meets legal and regulatory requirements.

d. Instructions.

(1) Follow your agency's instructions to decide which form to use to document the action. When large numbers of employees are being affected by the same action on the same effective date, use section 6 to decide if a list form of notice may be prepared in lieu of individual personnel actions. When a list form of notice is used, follow the instructions in section 6 to prepare it.

(2) When the action is documented on a Standard Form 50, use the copied Standard Form 50 on page >4-11<, of this chapter, to identify the blocks on the form, and follow the instructions in job aid, **Instructions for Completing the Standard Form 50 and for Completing Part B (blocks 1-44) and Parts C, E, and F of the Standard Form 52**, to complete the form. Explanations and definitions of codes used in the job aid are found in **The Guide to Personnel Data Standards**. Codes for legal authorities are also listed in that **Guide**. Where the instructions in this **Guide** direct you to enter a code on the Standard Form 50, only

the codes published in **The Guide to Personnel Data Standards** and in this **Guide** may be used. If an action requires more than two authorities, continue in “Remarks” section. Always list authorities in the sequence in which they appear in the instructions in this **Guide**.

(3) When an action must be corrected, follow the instructions in Chapter 32. An agency *may not* “x” out or use pencil, pen and ink, “white-out,” or erasures to correct Standard Form 50 data that is required by or reported to the Office of Personnel Management. Pen and ink corrections may be made only to correct Standard Form 50 information that is *not* required by or reported to the Office of Personnel Management.

(4) Distribute completed copies of the forms according to your agency’s instructions.

5. Exceptions to the Standard Form 50 and the Standard Form 52.

Federal Information Resources Management Regulation 101-11.203, “Standard and Optional Forms,” requires agencies to obtain approval before using any forms other than the Standard Form 52 to request and approve actions and any forms other than the Standard Form 50 to document personnel actions. Requests must be prepared in accordance with the Office of Personnel Management instructions. Send requests for approval through your agency’s Standard and Optional Forms Liaison to the Office of Personnel Management for transmittal to the General Services Administration. Address them to:

**OPM REPORTS AND FORMS MANAGER
OFFICE OF THE CHIEF INFORMATION
OFFICER
U.S. OFFICE OF PERSONNEL
MANAGEMENT
WASHINGTON, DC 20415-7900.**

Requests for exception should not be sent directly to the General Services Administration. Additions to or deletions of data from the current Standard Form 52 or Standard Form 50, as well as changes in sequence or format of data *must be approved in advance*. Use of other than white letter-size paper for the Standard Form 50, and use of other than blue or white letter-size paper for the Standard Form 52, *must be approved in advance*.

6. List Form of Notice.

a. Use of list form. When a large number of employees are being affected by the same personnel actions, the agency may find it easier and more economical to record the actions on a list form of notice rather than preparing individual Notifications of Personnel Action. A listing may be used only when:

(1) the personnel action for a group of employees occurs on the same effective date; *AND*

(2) no change occurs in the type of the employee’s appointment, or in the employee’s position, grade, or pay; *AND*

(3) the same authority is used for the action taken on each employee.

b. Actions for which a listing may be used:

(1) Mass Transfer;
 (2) 352 Termination—Appt in (agency)—*only* when separation is due to mass transfer; and

(3) **Changes.** The following actions may be documented by listings *only when the conditions in section >6a< are present:*

- 280 Placement in Pay Status—*only for seasonal employees* when the work season *begins*.,
- 430 Placement in Nonpay Status—*only for seasonal employees* when the work season *ends*,
- 471 Furlough,
- 472 Furlough NTE,
- 760 Ext of Appt NTE,
- 765 Ext of Term Appt NTE,
- 766 Ext of O/S Ltd Appt NTE,
- 781 Chg in Work Schedule,
- 790 Realignment,
- 792 Chg in Duty Station,
- 800 Chg in Data Element, and
- 883 Chg in Vet Pref - RIF

c. Format. Prepare lists on white, letter-size paper, following the instructions in job aid, **Instructions for Preparing a List Form of Notice**. Job aid, **Sample List Form of Notice**, shows how a list form of notice might be prepared.

d. Privacy Act Requirements. (1) Distribution of lists with personal information (for example, dates of birth, social security numbers, and agency payroll or employee numbers) violates the Privacy Act of 1974. Therefore, the employee and Official Personnel Folder copies of lists must be “sanitized” to remove personal information about *other* employees.

(2) To delete personal information from the employee and Official Personnel Folder copies of a list, you may computer-generate copies without such data *or* you may block out the personal data from a copy of the complete list and reproduce all the employee and Official Personnel Folder copies from this “sanitized” copy. You may also make separate “sanitized” employee and Official Personnel Folder copies for each employee. To do so, temporarily block out the personal information about all but one individual and reproduce employee and Official Personnel Folder copies for that individual; then do the same for each employee on the list.

e. Distribution. Give a copy of the “sanitized” list to the employee and file a copy in his or her Official Personnel Folder. Follow your agency’s instructions to distribute any other copies.

7. Notifying Employees of Personnel Actions.

Agencies must notify employees of personnel actions taken on them. This applies to all personnel actions as defined in this **Guide**. The method used depends on the action.

a. Standard Form 50. The Standard Form 50 is the required form of employee notification for accessions, conversions, and separations (natures of action in the 100s, 500s, and 300s) and for corrections and cancellations of those actions. The only exception is the use of a list form of notice for mass transfers (see section 6).

b. Agency Issuances. For all other personnel actions, the agency may choose any method to notify employees as long as it meets the following conditions:

(1) The agency must send the notification to the employee. The agency has the obligation to inform its employees when a change has occurred in their conditions of employment. The agency may not transfer this obligation to the employee by requiring employees to ask whether or not a personnel action has been effected. Agencies must take an affirmative step to notify employees of all personnel actions as defined in this **Guide**.

(2) The notification must be capable of being printed. The notice may or may not be a paper document. If it is not, however, the employee must have the option of printing the notice.

(3) The notice must contain:

- the nature of action as defined in this **Guide**. The nature of action code is not required. For example, the notice of a pay change must describe the action as a “Pay Adjustment” but the nature of action code “894” may or may not be included at the agency’s option.
- the effective date.
- the not-to-exceed date if the action is temporary or time-limited.
- all remarks required by this **Guide**.
- the old and new values for any data changed by the action and normally shown on the Standard Form 50. For example, the notice of a reassignment to a position with a different occupation code must identify both the old (reassigned from) and new (reassigned to) occupation codes.

- the employee’s full name.

(4) The notice must be an official issuance. It may be issued electronically or by paper document. Official notices may be agency forms, documents on agency letterhead, or other electronic or paper issuances showing the name and title of an agency official authorized to inform employees of personnel actions. For example, an agency form such as a leave and earning statement could be used to notify an employee of a within-grade increase.

c. Summary of Options. Agencies must use the Standard Form 50 to notify employees of accessions, conversions, separations, and corrections and cancellations of those actions. For all other actions, including corrections and cancellations of those actions, agencies may use any of the following methods to notify employees of personnel actions:

- Standard Form 50, or
- List form of notice, if the action is one of those identified in section 6, or
- A pay schedule or computer printout described in Chapter 17, if the action is a pay adjustment affecting a large number of employees, or
- An agency issuance that meets the conditions in b. above.

8. Data Collected on Race and National Origin and Identification of Handicap.

a. Need for data. Data on race, national origin, and handicap, are collected only for use in aggregate statistical reports (for example, number of Hispanic employees

hired, number of American Indian employees serving in positions at certain grades). This data is generally entered into agency personnel systems when appointment information is entered for preparation of the Standard Form 50. The information is never entered on the Standard Form 50 or the Standard Form 52.

b. Storing data. Keep race, national origin, and handicap, data in strictest confidence and limit access to the data to only those members of the agency staff who obtain the data and report it to the agency's personnel data system and to the Central Personnel Data File.

Destroy race and national origin forms used to collect the data as soon as the data have been entered into the agency's system and

verified/corrected. Until they are destroyed, keep the forms under the control of the Equal Employment Officer (or designee) and in a secure location (for example, locked in a cabinet in a secured room). No other hardcopy records containing individually identifiable race and national origin data may be maintained. Forms used to collect handicap may be filed in the Employee Medical Folder. **NEVER** file forms identifying race, national origin, or handicap, in an Official Personnel Folder, and **NEVER** file in an Official Personnel Folder any document on which employee's race, national origin, or handicap appear.

Job Aid**Comptroller General (CG) Decisions Concerning Effective Dates**

Prior to the establishment of the Office of Personnel Management's Claims Adjudication Unit (see 5 CFR 178.101), claims involving Federal employees' compensation were adjudicated by the General Accounting Office. Listed below are decisions issued that affect the setting of effective dates for personnel actions.

Prior approval
for appointment **>18CG907< and 20CG267**

Prior approval for
promotion **3CG559 and 9CG20**

Oath of office to be taken
before an employee can be paid . . **21CG817**

Compensation for services rendered prior to
appointment **8CG582 and 20CG267**

Holiday pay when conversion
action is involved **>30CG344<**

Compensation for service during an interval
between appointments **17CG323**

Move to another agency **34CG428**

Transfers where travel and
transportation expenses
are concerned **26CG862**

Relation of effective date to
entry on duty date **24CG150 and 45CG660**

Promotion that follows a detail . . **24CG563**

Salary change resulting from
allocation or reallocation
of a position **30CG156**

Job Aid**Instructions for Completing the Standard Form 50 and for Completing Part B (blocks 1-39) and Parts C, E, and F of the Standard Form 52****Purpose**

When the personnel action is documented on a Standard Form 50, Notification of Personnel Action, use this job aid to complete the form. Explanations and definitions of codes used in this job aid are found in [The Guide to Personnel Data Standards](#). This job aid also provides guidance for completing sections of the Standard Form 52, Request for Personnel Action.

With the exception of a Senior Executive Service Rank Award or a Separation Incentive, an SF-50 is not required to document awards and bonuses, nor is it required for actions in the 9xx series. If, however, you elect to use an SF-50 to document these actions, follow your agency's instructions in preparing the SF-50.

<i>Block Number and Title</i>	<i>When to Complete</i>	<i>How to Complete</i>
1 Name	Complete on all actions.	<p>a. When a requesting office has entered the employee's name, check it against the Official Personnel Folder, application/resume, or the Standard Form 75, Request for Preliminary Employment Data, to be sure it has been entered correctly.</p> <p>b. When a requesting office has not entered employee's name, enter it in capital letters, listing the last name first, followed by the first name or initial and middle name or initials. Do not enter "Mr.," "Mrs.," "Ms.," "Miss," "Dr.," "Prof.," or any other title.</p> <p>c. In reporting a change of name, show present name in this block and the former name in block 5-B, along with the name change nature of action.</p>
2 Social Security Number	Complete on all actions.	<p>a. When a requesting office has entered the employee's social security number (SSN), check it against the employee's Official Personnel Folder, application/resume, or the Standard Form 75, Request for Preliminary Employment Data, to be sure it has been entered correctly. When a requesting office has not entered employee's SSN, enter the SSN shown on the employee's application/resume or the Official Personnel Folder.</p>

Continued on next page

Job Aid**Instructions for Completing the Standard Form 50 and for Completing Part B (blocks 1-39) and Parts C, E, and F of the Standard Form 52, continued**

<i>Block Number and Title</i>	<i>When to Complete</i>	<i>How to Complete</i>
2 Social Security Number, continued	Complete on all actions.	<p>b. A social security number is required for:</p> <p>(1) United States citizens;</p> <p>(2) Foreign nationals serving in the 50 States, the District of Columbia, and in the areas listed below:</p> <p>American Samoa (including the Island of Tutuila, the Manua Islands, and all other Islands of the Samoa group east of longitude 171 degrees west of Greenwich, together with Swains Island);</p> <p>Canton and Enderbury Islands;</p> <p>Commonwealth of Puerto Rico;</p> <p>Guam;</p> <p>Howland, Baker, and Jarvis Islands;</p> <p>Johnston or Cornwallis Island, and Sand Island;</p> <p>Kingman Reef;</p> <p>Swan Islands;</p> <p>Virgin Islands of the United States;</p> <p>Wake Island;</p> <p>Midway Islands;</p> <p>Navassa Island;</p> <p>Palmyra Island;</p> <p>Any small guano islands, rocks, or keys which, by action taken under the Act of Congress, August 18, 1856, are considered as belonging to the United States; and</p> <p>Any other islands to which the United States Government reserves claim, such as Christmas Island.</p> <p>(3) Enter the employee number established by your agency for foreign nationals serving outside the areas listed in (2). If one of these employees has a social security number, it may be entered in place of any employee number established by your agency.</p> <p>c. When employee does not have a social security number. If a valid number is not available, create a pseudo number in the following way: enter an 8 (or a 9), followed by the 4-digit Personnel Office Identifier number assigned by the Office of</p>

Continued on next page

Job Aid

Instructions for Completing the Standard Form 50 and for Completing Part B (blocks 1-39) and Parts C, E, and F of the Standard Form 52, continued

<i>Block Number and Title</i>	<i>When to Complete</i>	<i>How to Complete</i>
2 Social Security Number, continued	Complete on all actions.	<p>Personnel Management; then assign the four sequential digits, the following controls must be maintained: (1) Uniqueness. Pseudo numbers may be used for persons for whom no social security numbers will be recorded, or for persons temporarily having no social security number. In either case, the number that is assigned must be unique. It may not be used after the person has left the agency or has received a valid social security number. The employee's Official Personnel Folder must always carry the valid social security number and correspondence with the National Personnel Records Center must always identify the employee by the valid number.</p> <p>(2) Correction. When a valid social security number is obtained to replace a pseudo number that has been assigned and submitted in a record to the Office of Personnel Management (to the Central Personnel Data File), a correction is required. Follow the instructions in The Guide to the Central Personnel Data File Reporting Requirements for preparing corrections for the Central Personnel Data File. Note that for the Central Personnel Data File, a complete correction action is required for each action processed with the pseudo number.</p> <p>d. Multiple Appointments. If the employee holds two or more appointments in the same agency at the same time, use the valid social security number for each appointment. On each action processed during a period of concurrent employment, use Remark M36—"Concurrent employment (identify position or agency unit where concurrently employed)."</p> <p>e. To obtain a valid Social Security Number, the employee must contact the nearest Social Security Administration office to complete the necessary application forms. He/she must present evidence of identity, birth, and if foreign born, of United States citizenship or current alien status.</p> <p>f. Corrections. See Chapter 32 for instructions.</p>

Job Aid**Instructions for Completing the Standard Form 50 and for Completing Part B (blocks 1-39) and Parts C, E, and F of the Standard Form 52, continued**

<i>Block Number and Title</i>	<i>When to Complete</i>	<i>How to Complete</i>
3 Date of Birth	Complete on all actions.	When the requesting office has entered employee's date of birth, check it against the Official Personnel Folder, application/resume, or Standard Form 75, Request for Preliminary Employment Data, to be sure it has been entered correctly. When the requesting office has not entered employee's date of birth, enter it in month-day-year order, for example, "01-03-40" or "01-03-1940."
4 Effective Date	Complete on all actions.	Enter date in month-day-year order, for example, "10-01-98" or "10-01-1998" (As a general rule, the effective date may not be earlier than the date on which the appointing officer approved the action. See Table 3-A for guidance on setting effective dates and for information on situations when the effective date may be earlier than the date on which the officer approved the action.)
5-A Code	Complete on all actions.	Enter code required by the chapter that explains how to process the action. When nature of action is a correction, enter "002;" when it is a cancellation, enter "001."
5-B Nature of Action		Enter the nature of action for the code shown in block 5-A.
5-C Code	Complete on all actions except 350/Death, 355/Termination-Exp of Appt, and 002/Correction.	Enter primary authority code—the first one listed for the action in the chapter that explains how to process the action. (Authority codes must always be entered in the order in which they are listed in the chapter that covers the action.)
5-D Legal Authority		Enter primary authority code—the first one listed for the action in the chapter that explains how to process the action. (Authority codes must always be entered in the order in which they are listed in the chapter that covers the action.)
5-E Code	Complete only when a second authority is required for the nature of action shown in blocks 5-A and 5-B.	Enter code for the second authority.
5-F Legal Authority		Enter second authority.

Job Aid**Instructions for Completing the Standard Form 50 and for Completing Part B (blocks 1-39) and Parts C, E, and F of the Standard Form 52, continued**

<i>Block Number and Title</i>		<i>When to Complete</i>	<i>How to Complete</i>
6-A	Code	Complete when a second action, with the same effective date, is processed on the same Standard Form 50.	Enter the code required by the chapter that explains how to process the action. When the Standard Form 50 is processed to correct or cancel an earlier action, enter the code and nature of action for the action being corrected or canceled. When two actions were processed on the same Standard Form 50 and both are being corrected or canceled, process a separate Standard Form 50 to cancel or correct each one.
6-B	Nature of Action		
6-C	Code	a. Leave blank when code & nature of action shown in blocks 6-A and 6-B are: (1) 350/Death, or (2) 355/Termination-Exp of Appt. b. Leave blank when code and nature of action shown in blocks 5-A and 5-B are 001/Cancellation. c. Complete on all other actions when blocks 6-A and 6-B are completed.	Enter primary authority code for nature of action shown in blocks 6-A and 6-B.
6-D	Legal Authority		Enter primary authority for the nature of action shown in blocks 6-A and 6-B.
6-E	Code	Complete only when a second authority code and authority is required for the nature of action shown in blocks 6-A and 6-B.	If a second authority code is required for the nature of action shown in blocks 6-A and 6-B, enter it here.
6-F	Legal Authority		If a second authority is required for the nature of action shown in blocks 6-A and 6-B, enter it here.

Job Aid

Instructions for Completing the Standard Form 50 and for Completing Part B (blocks 1-39) and Parts C, E, and F of the Standard Form 52, continued

<i>Block Number and Title</i>	<i>When to Complete</i>	<i>How to Complete</i>
7 FROM: Position Title and Number	<p>a. Leave blank on actions that grant Senior Executive Service rank awards (Nature of Action 878).</p> <p>b. Complete on:</p> <p>(1) separations,</p> <p>(2) actions that place employee in nonpay status, and</p> <p>(3) any other action that moves the employee to another position.</p>	Enter position title and number shown in “To” portion of employee’s last Notification of Personnel Action.
8 Pay Plan	<p>c. Completion is optional on other actions; follow your agency's instructions.</p>	Enter the pay plan and occupational code shown in “To” portion of employee's last Notification of Personnel Action. (If zeros are used to complete the code, they must precede the prescribed occupational code. For example, the code for Guard, which is “085” would be entered as “0085.”) Note: the occupational code must be entered for all pay plans, including “AD,” “ES,” and “EX.” When the employee is serving in a position that is not classified under a formal position classification system, enter the occupational code that most precisely identifies the employee's duties and responsibilities.
9 Occupational code		
10 Grade or Level		<p>Enter grade or level shown in the “To” portion of employee's last Notification of Personnel Action:</p> <p>a. Enter “00” if employee is in the Senior Executive Service (SES).</p> <p>b. If employee is in the Competitive or Excepted Service, enter the grade or level of the position, for example “9” or (“09”). If the position has no grade or level, enter two zeros (“00”).</p> <p>c. Enter the target grade for employees under the pay plan WT (Federal Apprentices and Shop Trainees).</p> <p>d. For employees who are already entitled to grade retention under 5 U.S.C. 5362, enter grade of the position they actually occupy, <i>not</i> the grade they are retaining for pay and benefit purposes.</p>

Job Aid

Instructions for Completing the Standard Form 50 and for Completing Part B (blocks 1-39) and Parts C, E, and F of the Standard Form 52, continued

<i>Block Number and Title</i>	<i>When to Complete</i>	<i>How to Complete</i>
11 Step or Rate	<p>a. Leave blank on actions that grant Senior Executive Service rank awards (Nature of Action 878).</p> <p>b. Complete on:</p> <ul style="list-style-type: none"> (1) separations, (2) actions that place employee in nonpay status, and (3) any other action that moves employee to a different grade, step or rate. <p>c. Completion is optional for other actions; follow your agency's instructions.</p>	<p>Enter step or rate for employee's current salary:</p> <p>a. When the employee is in the Senior Executive Service, enter the appropriate Senior Executive Service pay rate (01, 02, 03, 04, 05, 06).</p> <p>b. For Presidential appointees and appointees described in 5 CFR 317.801(a)(2) who elect to retain Senior Executive Service provisions, enter the Senior Executive Service pay rate (for pay plan "ES") 01, 02, 03, 04, 05, or 06 at which the employee will be paid, even though the pay plan in block 8 is not "ES."</p> <p>c. Enter "00" for:</p> <ul style="list-style-type: none"> (1) employees in pay plan "GM;" and (2) employees who are already entitled to grade retention or who are already entitled to pay retention and have a salary in excess of the maximum rate for their grade. <p>d. When grade or pay retention are not involved and the employee is in the Competitive or Excepted Service, enter the appropriate step or rate within the grade or level, for example, "1" (or "01"). If the position has only one basic pay rate, enter two zeros ("00").</p>
12 Total Salary	<p>a. Leave blank on actions that grant Senior Executive Service rank awards (Nature of Action 878).</p> <p>b. Complete on:</p> <ul style="list-style-type: none"> (1) separations, (2) actions that place employee in nonpay status, (3) any other action that moves employees to a different salary, (4) any action that changes or terminates administratively uncontrollable overtime (Nature of Action 818); and (5) any action that terminates availability pay (Nature of Action 819). <p>c. Completion is optional for other actions; follow your agency's instructions.</p>	<p>Total salary is the amount of "adjusted basic pay" (block 12C) plus any AUO, availability pay, retention allowance, or supervisory differential after taking into account all pay caps that may be applicable. The total salary must be compatible with the pay basis for the pay plan under which the employee is paid. Except in cases described in a. below, this is the pay basis for the pay plan in block 8.</p> <p>a. When employee is entitled to grade retention, show total salary in terms of the pay basis for the pay plan under which the employee is paid. For example, when an employee who is retaining a General Schedule grade and salary occupies a prevailing rate position, the total salary should be shown on a per annum basis. To convert per hour rate of pay to equivalent annual rate, multiply by 2087. To convert annual rate of pay to equivalent per hour rate, divide annual rate by 2087.</p>

Continued on next page

Job Aid**Instructions for Completing the Standard Form 50 and for Completing Part B (blocks 1-39) and Parts C, E, and F of the Standard Form 52, continued**

<i>Block Number and Title</i>	<i>When to Complete</i>	<i>How to Complete</i>
12 Total Salary, continued	<p>a. Leave blank on actions that grant Senior Executive Service rank awards (Nature of Action 878).</p> <p>b. Complete on:</p> <ul style="list-style-type: none"> (1) separations, (2) actions that place employee in nonpay status, (3) any other action that moves employees to a different salary, (4) any action that grants, changes or terminates administratively uncontrollable overtime pay (Nature of Action 818); and (5) any action that terminates availability pay (Nature of Action 819). <p>c. Completion is optional for other actions; follow your agency's instructions.</p>	<p>b. If employment is without pay, enter six zeros ("000000").</p> <p>c. On actions that grant administratively uncontrollable overtime pay, enter "00%." On actions that change or terminate administratively uncontrollable overtime, enter percentage employee has been receiving, for example, "10%."</p> <p>d. On actions that terminate availability pay, enter dollar amount employee has been receiving.</p>
12A Basic Pay	<p>a. Leave blank on actions that grant administratively uncontrollable overtime pay, availability pay, and Senior Executive Service rank awards (Natures of Action 818, 819, and 878).</p> <p>b. Complete on:</p> <ul style="list-style-type: none"> (1) separations; (2) actions that place employee in nonpay status; and (3) any action that changes employee's salary, or (4) any action that changes administratively uncontrollable overtime pay or that terminates administratively uncontrollable overtime pay or availability pay. <p>c. Completion is optional for other actions; follow your agency's instructions.</p>	Enter the employee's salary, excluding allowances, adjustments, and differentials.

Job Aid**Instructions for Completing the Standard Form 50 and for Completing Part B (blocks 1-39) and Parts C, E, and F of the Standard Form 52, continued**

<i>Block Number and Title</i>		<i>When to Complete</i>	<i>How to Complete</i>
12B	Locality Adjustment	a. Leave blank on actions that grant administratively uncontrollable overtime pay, availability pay, and Senior Executive Service rank awards (Natures of Action 818, 819, and 878).	Enter the difference between the adjusted basic pay (block 12C) minus the basic pay (block 12A.) If employee is not entitled to a locality payment, leave blank.
12C	Adjusted Basic Pay	b. Complete on:	Enter the maximum adjusted rate of basic pay after taking into account all pay caps that may be applicable.
12D	Other Pay	<p>(1) separations;</p> <p>(2) actions that place employee in nonpay status; and</p> <p>(3) any action that changes employee's salary, or</p> <p>(4) any action that changes administratively uncontrollable overtime pay or that terminates administratively uncontrollable overtime pay or availability pay.</p> <p>c. Completion is optional for other actions; follow your agency's instructions.</p>	<p>a. Enter the difference between total salary (block 12) and adjusted basic pay (block 12C).</p> <p>b. Leave blank if employee is not entitled to administratively uncontrollable overtime pay, availability pay, retention allowance, or supervisory differential.</p> <p>c. Explain any <i>other</i> allowances/ differentials to which employee is entitled (e.g., uniform allowance or shift differential) in remarks.</p> <p>d. All other allowances/differentials are <i>excluded</i> from the amounts shown in blocks 12 or 12D.</p>
13	Pay Basis	<p>a. Leave blank on actions that grant administratively uncontrollable overtime pay, and Senior Executive Service rank awards (Natures of Action 818 and 878).</p> <p>b. Complete on all other actions for which block 12 is completed.</p>	Enter appropriate code for basis on which employee is currently being paid. Use The Guide to Personnel Data Standards to select the code. Pay basis must agree with the way in which the total salary is shown in block 12; for example, if annual amount is shown in block 12, then "pa" must be entered in block 13. Note: pay basis "sy" is to be used only for teachers/educators.

Job Aid**Instructions for Completing the Standard Form 50 and for Completing Part B (blocks 1-39) and Parts C, E, and F of the Standard Form 52, continued**

<i>Block Number and Title</i>	<i>When to Complete</i>	<i>How to Complete</i>
14 Name and Location of Position's Organization	<p>a. Leave blank on actions that grant administratively uncontrollable overtime pay, and Senior Executive Service rank awards (Natures of Action 818 and 878).</p> <p>b. Complete on:</p> <p style="padding-left: 20px;">(1) separations;</p> <p style="padding-left: 20px;">(2) actions that place employee in nonpay status; and</p> <p style="padding-left: 20px;">(3) any other action that moves employee to a different office.</p> <p>c. Completion is optional on other actions; follow your agency's instructions.</p>	<p>a. Enter the name and location shown in "To" portion of employee's last Notification of Personnel Action.</p> <p>b. On appointment actions that move an employee from another agency, enter the agency code for the losing agency. When action is a reemployment under Public Law 85-795, enter "PI00."</p>
15 TO: Position Title and Number	<p>a. Leave blank on actions that:</p> <p style="padding-left: 20px;">(1) place employee in nonpay status,</p> <p style="padding-left: 20px;">(2) separations, and</p> <p style="padding-left: 20px;">(3) separation incentives.</p> <p>b. Complete on all other actions.</p>	Enter position title and number shown on the position description. When action grants or continues entitlement to grade retention under 5 U.S.C. 5362, enter title and number of position employee actually occupies, <i>not</i> of the position whose grade the employee is retaining for pay and benefit purposes.
16 Pay Plan	<p>a. Leave blank on:</p> <p style="padding-left: 20px;">(1) actions that grant Senior Executive Service rank awards and separation incentives (Natures of Action 878 and 825).</p> <p style="padding-left: 20px;">(2) separations,</p> <p style="padding-left: 20px;">(3) actions that place employee in nonpay status.</p> <p>b. Complete on all other actions.</p>	<p>a. Enter the pay plan and occupational code shown on the position description. Note: The occupational code must be entered for <i>all</i> pay plans including "AD," "ES," and "EX." When the employee is serving in a position that is not classified under a formal position classification system, enter the occupational code that most precisely identifies the employee's duties and responsibilities.</p> <p>b. When employee is entitled to grade retention, show pay plan and occupational code for the position employee occupies, <i>not</i> the position upon which the grade retention entitlement is based.</p> <p>c. If zeros are used to complete the code, they must precede the prescribed occupational code. For example, the code for Guard, which is "085," would be entered as "0085."</p>
17 Occupational Code		

Job Aid

Instructions for Completing the Standard Form 50 and for Completing Part B (blocks 1-39) and Parts C, E, and F of the Standard Form 52, continued

<i>Block Number and Title</i>	<i>When to Complete</i>	<i>How to Complete</i>
18 Grade or Level	<p>a. Leave blank on actions that document separation incentives and Senior Executive Service rank awards (Natures of Action 825 and 878).</p> <p>b. Leave blank on separations and actions that place employee in nonpay status.</p> <p>c. Complete on all other actions.</p>	<p>a. Enter “00” if employee is in the Senior Executive Service.</p> <p>b. If the employee is in the Competitive or the Excepted Service, enter grade or level shown on the position description, for example, “03,” or “12.” If the position has no grade or level, enter two zeros (“00”).</p> <p>c. Enter the target grade for employees under the pay plan WT (Federal Apprentices and Shop Trainees).</p> <p>d. For employees who are entitled to grade retention under 5 U.S.C. 5362, show grade of the position employee actually occupies, <i>not</i> the grade he or she is retaining for pay and benefits purposes.</p>
19 Step or Rate		<p>Enter code for step or rate at which employee will be paid.</p> <p>a. When action places or continues employee's placement in a Senior Executive Service position, enter the appropriate Senior Executive Service pay rate (01, 02, 03, 04, 05, or 06).</p> <p>b. For Presidential appointees and appointees described in 5 CFR 317.801(a)(2) who elect to retain Senior Executive Service provisions, enter the Senior Executive Service pay rate (the rate for pay plan “ES”) at which the employee will be paid (01, 02, 03, 04, 05, or 06) even though the pay plan in block 16 is not “ES.”</p> <p>c. Enter “00” for:</p> <ol style="list-style-type: none"> (1) employees in pay plan “GM;” (2) employees who are entitled to grade retention or are entitled to pay retention and have a salary in excess of the maximum rate for their grade; and (3) employees whose pay plans have no steps (for example, ST and SL). <p>d. When grade retention is terminated, enter the appropriate step or rate of the grade of the position the employee occupies.</p> <p>e. When grade retention is not involved and the employee is in the competitive or excepted service (except for persons described in b above), enter the appropriate step or rate within the grade or level, for example “1” (or “01”). If the position has only one basic pay rate, enter two zeros (“00”).</p>

Job Aid**Instructions for Completing the Standard Form 50 and for Completing Part B (blocks 1-39) and Parts C, E, and F of the Standard Form 52, continued**

<i>Block Number and Title</i>	<i>When to Complete</i>	<i>How to Complete</i>
20 Total Salary/Award	Complete on all actions except separations and actions that place employee in nonpay status.	<p>a. For an 818/AUO action that grants or changes the percentage an employee will receive, enter administratively uncontrollable overtime pay percentage (for example, “10%”). For an 818/AUO action that terminates administratively uncontrollable overtime pay, enter “00%.”</p> <p>b. For an 819/Availability Pay action that grants availability pay, enter the dollar amount of availability pay. For an 819/Availability Pay action that terminates availability pay, enter “0.”</p> <p>c. For actions other than administratively uncontrollable overtime pay, Senior Executive Service rank awards, or separation incentives, enter the amount of adjusted basic pay plus any AUO, availability pay, retention allowance, or supervisory differential after taking into account all pay caps that may be applicable. The total salary must be compatible with the pay basis for the pay plan under which the employee is paid. Except in cases described in d. below, this is the pay basis for the pay plan in block 16. For example, if the pay plan under which the employee is paid is “GS” or another one for which pay is set on an annual basis, a per annum rate of pay must be entered. If the plan is one for which pay is set on an hourly basis, then the per hour rate of pay must be entered.</p> <p>d. When employee is entitled to begin or continue a period of grade retention under 5 U.S.C. 5362, show salary in terms of the pay system under which the employee is paid. For example, if an employee who is entitled to retain the grade and salary of a General Schedule position is being assigned to a prevailing rate position, show retained salary on per annum basis. If employee who is entitled to retain the grade and salary of a prevailing rate position is being assigned to a General Schedule position, show retained salary on a per hour basis. To convert per hour rate of pay to equivalent annual rate, multiply the per hour rate by 2087; to convert annual rate of pay to per hour rate, divide the annual rate by 2087.</p> <p>e. When employee is not entitled to begin or continue a period of grade retention, follow completion instructions for block 12.</p> <p>f. If action is a separation incentive, enter the dollar amount of the separation incentive.</p> <p>g. If action is a Senior Executive Service rank award, enter the dollar amount of the award.</p>

Job Aid

Instructions for Completing the Standard Form 50 and for Completing Part B (blocks 1-39) and Parts C, E, and F of the Standard Form 52, continued

<i>Block Number and Title</i>	<i>When to Complete</i>	<i>How to Complete</i>
20A Basic Pay	a. Leave blank on: (1) actions that document	Enter the employee's salary, excluding allowances, adjustments, and differentials.
20B Locality Adjustment	administratively uncontrollable overtime pay, availability pay, separation incentives, and Senior Executive Service rank awards. (Natures of Action 818, 819, 825, and 878)	Enter the difference between the adjusted basic pay minus the basic pay. If employee is not entitled to locality payment or interim geographic payment, leave blank.
20C Adjusted Basic Pay	(2) separations; and	Enter the maximum adjusted rate of basic pay after taking into account all pay caps that may be applicable.
20D Other Pay	(3) actions that place employee in nonpay status; b. Complete on any action that changes employee's salary. c. Completion is optional for other actions; follow your agency's instructions.	a. Enter the difference between total salary (block 20) and adjusted basic pay (block 20C). b. Leave blank if employee is not entitled to administratively uncontrollable overtime pay, availability pay, retention allowance, or supervisory differential. c. Explain any <i>other</i> allowances/ differentials to which employee is entitled (for example, uniform allowance or shift differential) in remarks. d. All other allowances/differentials are <i>excluded</i> from the amounts shown in blocks 20 or 20D.
21 Pay Basis	a. Leave blank on actions that document, administratively uncontrollable overtime pay, Senior Executive Service rank awards, and separation incentives (Natures of Action, 818, 825, and 878). b. Complete on all other actions for which block 20 is completed.	Enter code for basis on which employee is to be paid. Use The Guide to Personnel Data Standards to select appropriate code. Pay basis must agree with the way in which the total salary is shown in block 20; for example, if annual amount is shown in block 20, then "pa" must be entered in block 21. Note: pay basis "sy" is to be used only for teachers/educators.

Job Aid**Instructions for Completing the Standard Form 50 and for Completing Part B (blocks 1-39) and Parts C, E, and F of the Standard Form 52, continued**

<i>Block Number and Title</i>	<i>When to Complete</i>	<i>How to Complete</i>
22 Name and Location of Position's Organization	<p>a. Leave blank on:</p> <p>(1) actions that place employee in nonpay status, and</p> <p>(2) separations that are not immediately followed by appointment in another agency or in a public international organization, and</p> <p>(3) separation incentives.</p> <p>b. Complete on all other actions.</p>	<p>Enter name of lowest subdivision of an organization to which an employee is assigned. For example: Bureau of Management, Personnel Division, Staffing and Employee Relations Branch.</p> <p>a. Enter organization name as it is shown on the position description.</p> <p>b. In separation actions for movement to a different agency, enter the agency code for the gaining agency.</p> <p>c. For separations to accept employment with a public international organization from which employee will have reemployment rights, enter "PI00."</p>
23 Veterans' Preference	<p>a. Complete on appointments, conversions to appointments, actions that change veterans' preference (883) and separations.</p> <p>b. Completion is optional on other actions; follow your agency's instructions.</p>	<p>Enter the appropriate code based on preference for appointment, adverse action, reduction in force, or performance-based action purposes. Use The Guide to Personnel Data Standards to select the appropriate code.</p>
24 Tenure	<p>a. Completion is optional on pay change actions; follow your agency's instructions.</p> <p>b. Complete on all other actions.</p>	<p>Enter appropriate tenure group. (Do not show subgroup.) If employee is not in one of the tenure groups defined in The Guide to Personnel Data Standards, enter a zero ("0"). Also enter zero for employees in the Senior Executive Service and for employees appointed by the President subject to Senate confirmation.</p>

Continued on next page

Job Aid**Instructions for Completing the Standard Form 50 and for Completing Part B (blocks 1-39) and Parts C, E, and F of the Standard Form 52, continued**

<i>Block Number and Title</i>	<i>When to Complete</i>	<i>How to Complete</i>
25 Agency Use	Complete when required by your agency.	Follow your agency's instructions.

Job Aid

Instructions for Completing the Standard Form 50 and for Completing Part B (blocks 1-39) and Parts C, E, and F of the Standard Form 52, continued

<i>Block Number and Title</i>	<i>When to Complete</i>	<i>How to Complete</i>
26 Veterans' Preference for Reduction in Force	Complete on all actions on which block 23 is completed.	a. For employees to whom preference for reduction in force does not apply, enter "X" in "No" block. (Veterans' preference for reduction in force does not apply to Senior Executive Service appointees, to excepted service Schedule C appointees, or to those excepted service appointees who are appointed by the President subject to Senate confirmation.)
27 Federal Employees Group Life Insurance	<p>a. Complete on:</p> <p>(1) appointments, and conversions to appointments,</p> <p>(2) placements in nonpay status and return-to-duty actions,</p> <p>(3) 881/FEGLI Chg actions,</p> <p>(4) separations, and</p> <p>(5) all actions for which block 12 or 20 shows salary.</p> <p>b. Completion is optional on other actions; follow your agency's instructions.</p>	Enter appropriate code and definition (for example, "C0-Basic only"). Codes and definitions are listed in The Guide to Personnel Data Standards .

Job Aid**Instructions for Completing the Standard Form 50 and for Completing Part B (blocks 1-39) and Parts C, E, and F of the Standard Form 52, continued**

<i>Block Number and Title</i>	<i>When to Complete</i>	<i>How to Complete</i>
28 Annuitant Indicator	<p>a. Complete on:</p> <p>(1) appointments, (2) conversions to appointments, (3) separations, (4) any action that results in a change in the code shown in this block.</p> <p>b. Completion is optional on other actions; follow your agency's instructions.</p>	Enter appropriate code and title; follow descriptions in Table 4-D or The Guide to Personnel Data Standards to select the code.
29 Pay Rate Determinant	<p>a. Complete on all actions on which block 20 shows salary.</p> <p>b. Leave blank on actions that document administratively uncontrollable overtime pay, Senior Executive Service rank awards, or separation incentives (Natures of Action 818, 878, and 825).</p>	Use Table 4-C or The Guide to Personnel Data Standards to select the code that best describes any special factors used in determining employee's rate of basic pay.
30 Retirement Plan	<p>a. Complete on:</p> <p>(1) appointments, (2) conversions to appointments, (3) separations, and (4) any action that results in a change in the code shown in that block.</p> <p>b. Completion is optional on other actions; follow your agency's instructions.</p>	<p>a. Use The CSRS and FERS Handbook for Personnel and Payroll Offices to determine who is covered under Old Age Survivor and Disability Insurance tax (FICA) and to determine who is covered under the Civil Service Retirement System or the Federal Employees Retirement System.</p>

Continued on next page

Job Aid**Instructions for Completing the Standard Form 50 and for Completing Part B (blocks 1-39) and Parts C, E, and F of the Standard Form 52, continued**

<i>Block Number and Title</i>	<i>When to Complete</i>	<i>How to Complete</i>
30 Retirement Plan, continued		b. Use The Guide to Personnel Data Standards to select the appropriate code and definition.
31 Service Computation Date (Leave)	<p>a. Complete on:</p> <ul style="list-style-type: none"> (1) appointments, (2) conversions to appointments, (3) separations, and (4) any actions that result in a change to the service computation date for leave accrual. <p>b. Completion on other actions is optional; follow your agency's instructions.</p>	Enter month-day-year, for example, "05-18-81" or "05-18-1981." (See Chapter 6 for instructions in computing the service computation date for leave accrual.)

Job Aid**Instructions for Completing the Standard Form 50 and for Completing Part B (blocks 1-39) and Parts C, E, and F of the Standard Form 52, continued**

<i>Block Number and Title</i>	<i>When to Complete</i>	<i>How to Complete</i>
32 Work Schedule	<p>a. Complete on:</p> <p>(1) appointments and conversions to appointments,</p> <p>(2) separations,</p> <p>(3) pay change actions,</p> <p>(4) actions that move employee into and out of pay status, and</p> <p>(5) 781/Chg in Work Schedule actions.</p> <p>b. Completion on other actions is optional; follow your agency's instructions.</p>	Use The Guide to Personnel Data Standards to enter appropriate code and definition.
33 Part-Time Hours per Biweekly Pay Period	<p>a. Complete when block 32 shows work schedule is part-time.</p> <p>b. Leave blank on all other actions.</p>	Self explanatory.
34 Position Occupied	<p>a. Complete on:</p> <p>(1) appointments,</p> <p>(2) conversions to appointments,</p> <p>(3) separations, and</p> <p>(4) 800/Chg in Data Element actions that document the change from a Senior Executive Service Career Reserved position to Senior Executive Service General position or vice versa.</p> <p>b. Completion is optional on other actions; follow your agency's instructions.</p>	Use The Guide to Personnel Data Standards to enter appropriate code.

Job Aid

Instructions for Completing the Standard Form 50 and for Completing Part B (blocks 1-39) and Parts C, E, and F of the Standard Form 52, continued

<i>Block Number and Title</i>	<i>When to Complete</i>	<i>How to Complete</i>
35 Fair Labor Standards Act Category (FLSA)	<p>a. Complete on:</p> <p>(1) appointments, (2) conversions to appointments, (3) separations, and (4) any action that moves employee to another position or results in a change in the code shown in that block.</p> <p>b. Completion is optional on other actions; follow your agency's instructions.</p>	Use The Guide to Personnel Data Standards to enter appropriate code.
36 Appropriation Code	Complete when required by your agency.	Follow your agency's instructions.
37 Bargaining Unit Status	<p>a. Must be completed on:</p> <p>(1) appointments, (2) conversions to appointments, (3) separations, and (4) any action that moves employee to a different position or results in a change to the employee's Bargaining Unit Status.</p> <p>b. Completion is optional on other actions.</p>	<p>Follow instructions below to select code. (Code refers to whether the incumbent of the position is eligible to be represented by a bargaining unit. Code does not indicate whether employee is or is not a member of a union.)</p> <p>a. When employee is eligible for and represented in a bargaining unit, enter last four digits of "OLMR Number" found in the Office of Employee and Labor Relations publication <i>Union Recognition in the Federal Government</i>. If the unit is not listed, contact the Office of Personnel Management's Center for Partnership & Labor-Management Relations to obtain a number for it.</p> <p>b. When an employee is eligible but not represented in a bargaining unit, enter "7777." Code "7777" also includes temporary employees where the bargaining unit does not include temporary employees.</p> <p>c. When employee is ineligible for inclusion in a bargaining unit, enter "8888."</p> <p>d. Consult with the agency or installation labor relations officer for further assistance.</p>

Job Aid

Instructions for Completing the Standard Form 50 and for Completing Part B (blocks 1-39) and Parts C, E, and F of the Standard Form 52, continued

<i>Block Number and Title</i>	<i>When to Complete</i>	<i>How to Complete</i>
38 Duty Station Code	<p>a. Complete on:</p> <ul style="list-style-type: none"> (1) appointments and conversions to appointments, (2) separations, and (3) any action that moves employee to a new duty station. <p>b. Completion is optional on other actions.</p>	<p>Enter code [State(or country)/city/county] for location shown in block 39. To locate the most recent list of codes, see the Duty Station File that is available for download at www.opm.gov/feddata/guidance.htm.</p> <p>a. When an employee's official duty station is not in a city, enter "0000" for the city portion of the nine-digit code.</p> <p>b. When an employee's official duty station is outside the United States, the last three digits of the nine-digit code are not needed and may be left blank or filled with zeroes or any other representations.</p>
39 Duty Station		<p>Enter location of employee's official duty station:</p> <p>a. When employee's official duty station is in the United States, enter "city-county-State" or "city-State," as appropriate.</p> <p>b. When duty station is in a foreign country, enter city and country.</p>
40 Agency Data - 44	Complete when required by your agency.	Follow your agency's instructions.
45 Remarks (Parts E and F of the Standard Form 52)	Complete whenever this Guide or your agency's instructions require you to list remarks on the Standard Form 50. Also use when space is needed to show more than two authority codes and authorities for an action and when remarks are needed to explain premium pay shift rates, or other pay entitlements.	<p>a. When action is a resignation/retirement, be sure to ask the employee to provide a reason, an effective date, and a forwarding address. Part E of the Standard Form 52 may be used for this purpose. When an employee furnishes resignation or retirement data on a separate sheet (by letter or E-mail, for example), check to be sure it contains the information in Part E.</p>

Continued on next page

Job Aid

Instructions for Completing the Standard Form 50 and for Completing Part B (blocks 1-39) and Parts C, E, and F of the Standard Form 52, continued

<i>Block Number and Title</i>	<i>When to Complete</i>	<i>How to Complete</i>
45 Remarks, continued (Parts E and F of the Standard Form 52)	Complete whenever this Guide or your agency's instructions require you to list remarks on the Standard Form 50. Also use when space is needed to show more than two authority codes and authorities for an action and when remarks are needed to explain premium pay shift rates, or other pay entitlements.	<p>b. Limit the length of remarks to the space provided in block 45.</p> <p>(1) When employee's reason for resignation/retirement or the agency's finding are so lengthy that they will not fit in block 45, summarize them on the Standard Form 50. (The reason or finding will remain a matter of record because the resignation is a document required for long-term retention in the Official Personnel Folder.)</p> <p>(2) On some appointments, conversion to appointment, and change actions, all of the required remarks will not fit in block 45. When this occurs, benefits remarks (those with codes beginning with "B"), Federal Employees Retirement System-related remarks (remarks M38, M39, M40, M45, and M46), Thrift Savings Plan remarks, and agency remarks (e.g., those beginning with codes "Y" and "Z") may be printed on a second Standard Form 50. In these cases:</p> <ul style="list-style-type: none"> — the last entry in block 45 of the first Standard Form 50 must be: "Remarks continued on second page." and the first entry in block 45 of the second Standard Form 50 must be "Remarks continued:"; — entries in blocks 1-44 and 46-50 on the second Standard Form 50 must be identical to those on the first Standard Form 50; and — copies of <i>both</i> Standard Form 50's must be placed in the Official Personnel Folder.

Job Aid**Instructions for Completing the Standard Form 50 and for Completing Part B (blocks 1-39) and Parts C, E, and F of the Standard Form 52, continued**

<i>Block Number and Title</i>	<i>When to Complete</i>	<i>How to Complete</i>
46 Employing Department or Agency	Complete on all actions.	List Agency (and subelement)—see The Guide to Personnel Data Standards .
47 Agency Code	Complete on all actions.	Enter code from The Guide to Personnel Data Standards .
48 Personnel Office Identifier	Complete on all actions	Enter the Personnel Office Identifier (POI) number assigned by the Office of Personnel Management to the servicing personnel office.
49 Approval Date	Complete on all actions	<p>a. Except as explained in Table 4-B of this chapter, an action may not have an effective date that is earlier than the date on which it was approved (block 49).</p> <p>b. Enter the date the appointing officer (the person who has delegated appointing authority) approved the action by signing and dating block C-2 of the Standard Form 52. If there is no Standard Form 52 or if the Standard Form 52 is not signed (either with a pen-and-ink signature or by an electronic authentication approved by the Office of Personnel Management) by the approving official prior to the effective date, enter the date on which the appointing officer actually signs the Standard Form 50. With few exceptions, this must be on or before the effective date</p>
50 (Part C of the Standard Form 52) Signature/Authentication and Title of Approving Official	Complete on all actions.	<p>a. Enter title of approving official, the person to whom appointment authority has been delegated, for example, “Chief, Technical Services Division,” or “Chief, Personnel Division.” If a Standard Form 52 was used to approve the action, this will be the title of the person who signed block C-2 of the Standard Form 52.</p> <p>b. For an action to be approved, there must be a signature either in block C-2 of the Standard Form 52 or in block 50 of the Standard Form 50. The signature may be either a pen-and-ink one or an electronic authentication approved by the Office of Personnel Management.</p> <p>c. If a Standard Form 52 is not used for the action or does not carry one of these two forms of signature, then the Standard Form 50 must be signed personally in pen and ink by the approving official or have an electronic authentication approved by the Office of Personnel Management.</p> <p>d. If there is a Standard Form 52 signed in pen and ink or by an electronic authentication that satisfies the Office of Personnel Management’s requirements, then the approving official’s name may be signed, printed, stamped, or spelled out in punched holes.</p>

Page 4-40 is blank.

Job Aid

Instructions for Completing Parts A, B, and D of the Standard Form 52

Part A

When completing Part A of the Standard Form 52, Request for Personnel Action, follow your agency's instructions.

Part B

Follow the instructions below when completing Part B (blocks 40-51) of the Standard Form 52.

<i>Block Number and Title</i>	<i>When to Complete</i>	<i>How to Complete</i>
40 - 44	Follow your agency's instructions.	
45 Educational Level	<p>a. Complete for employees in the Senior Executive Service and in Tenure Groups 1 and 2 of the competitive and excepted service. For these employees, enter on:</p> <ul style="list-style-type: none"> (1) appointments, (2) conversions to appointments, (3) separations, (4) any action that results in a change to the code shown in that block. <p>b. Completion is optional on other actions; follow your agency's instructions.</p>	Review employee's most recent application/resume to determine employee's level of education. Use The Guide to Personnel Data Standards to select the appropriate code.
46 Year Degree Attained (Year Degree or Certificate Attained)	<p>a. Complete when education level shown in block 45 indicates completion of:</p> <ul style="list-style-type: none"> (1) a terminal occupational program (code 06), (2) an Associate degree (code 10), or (3) a Bachelor's or higher degree (code 13 or higher). <p>b. Leave blank when block 45 is blank or contains codes 01-05, 07-09, 11, or 12.</p>	Review employee's most recent application/resume to determine the year the employee attained the degree or certificate reflected in block 45. Enter the year (for example, "1980" or "80").

Job Aid**Instructions for Completing Parts A, B, and D of the Standard Form 52, continued**

<i>Block Number and Title</i>	<i>When to Complete</i>	<i>How to Complete</i>
47 Academic Discipline (Instructional Program)	<p>a. Complete when education level shown in block 45 indicates completion of:</p> <p style="padding-left: 20px;">(1) a terminal occupational program (code 06),</p> <p style="padding-left: 20px;">(2) an Associate degree (code 10), or</p> <p style="padding-left: 20px;">(3) a Bachelor's or higher degree (code 13 or higher).</p> <p>b. Leave blank when block 45 is blank or contains codes 01-05, 07-09, 11, or 12.</p>	Review employee's most recent application/resume to identify employee's academic major or concentration. Use The Guide to Personnel Data Standards to select appropriate six-digit code.
48 Functional Class	Complete when block 17 is completed.	Use The Guide to Personnel Data Standards to select appropriate code. When employee is in an occupational series for which a functional classification code has not been established, enter "00."
49 Citizenship	<p>a. Complete on:</p> <p style="padding-left: 20px;">(1) appointments,</p> <p style="padding-left: 20px;">(2) conversions to appointments, and</p> <p style="padding-left: 20px;">(3) separations.</p> <p>b. Completion is optional for other actions; follow your agency's instructions.</p>	Enter appropriate code: 1 = U.S. Citizen (or U.S. National), or 8 = Other.

Job Aid**Instructions for Completing Parts A, B (blocks 45-51), and D of the Standard Form 52, continued**

<i>Block Number and Title</i>	<i>When to Complete</i>	<i>How to Complete</i>
50 Veterans' Status	<p>a. Complete on:</p> <p>(1) appointments, and</p> <p>(2) conversions to appointments.</p> <p>b. Completion is optional for other actions; follow your agency's instructions.</p>	Use The Guide to Personnel Data Standards enter appropriate code and definition.
51 Supervisory Status	<p>a. Must be completed for Senior Executive Service employees and for employees in Tenure Groups 1 and 2 of the competitive and excepted service. For those employees, complete on:</p> <p>(1) appointments,</p> <p>(2) conversions to appointments,</p> <p>(3) separations, and</p> <p>(4) any action that moves employee to another position or results in a change to employee's supervisory status.</p> <p>b. Completion is optional for other actions.</p>	Use The Guide to Personnel Data Standards for the codes and definitions. Select and enter the appropriate code. If code is not on the position description, ask the Position Classifier for it.

Job Aid**Instructions for Completing Parts A, B (blocks 45-51), and D of the Standard Form 52, continued**

Part D - Remarks by Requesting Office

Leave Part D blank for resignations and retirements. Information that a supervisor has concerning an employee's reason for resignation or retirement must be noted on a separate sheet (*NOT* on the Standard Form 52). It may be retained in the personnel office, in a "subject file," for 2 years from the effective date of the action in case it is needed for unemployment compensation purposes. The sheet may not be filed in the Official Personnel Folder.

Completion is optional for other actions.

Job Aid**Instructions for Preparing a List Form of Notice**

When a large number of employees are being affected by the same personnel actions, the agency may find it easier and more economical to record the actions on a list form of notice rather than preparing individual Standard Form 50s, Notification of Personnel Action. List forms of notice may be used only with those natures of action listed in section 5 of this chapter.

The information below must be shown on each page of a listing when used instead of individual Standard Form 50s, Notification of Personnel Action. An agency may show additional information on the listing if necessary to meet the requirements of its data system, but *none* of the information discussed below may be omitted.

Heading

State in the top center of each page: Personnel Action Listing
(Approved Standard Form 50 Exception)

Action

Following the heading, list in this order:

Nature of Action and Code:

Effective Date:

Authority and Code:

(Refer to the proper chapter in this **Guide** to select the correct Nature of Action and Authority.)

Changed Data

After identifying the personnel action, enter the appropriate “from” and “to” data.

Continued on next page

Job Aid**Instructions for Preparing a List Form of Notice, continued**

Remarks	<p>Enter for all Natures of Action except 352, 430, and 280:</p> <p style="text-align: center;"><i>Type of appointment, position, grade, and salary remain unchanged.</i></p> <p>Enter any other appropriate remarks as determined by the proper chapter of this Guide for the personnel action being documented.</p>
Name	<p>List the name of each employee affected. Give the name as it appears on the last Standard Form 50, Notification of Personnel Action.</p> <p>For control purposes, vacant positions may be listed as “Vacancy” under the name column, preferably following name listings. Vacant positions will not be affected by every type of action.</p>
Social Security Number	<p>List the social security numbers of the employees concerned <i>on only those copies retained for agency use</i>, for example, the payroll or agency copy that is used for computer purposes. The copy given to an employee and the copy placed in his or her Official Personnel Folder must not show the social security numbers of any other employees.</p>
Date of Birth	<p>List the dates of birth of the employees concerned <i>on only those copies retained for agency use</i>, for example, the payroll or agency copy that is used for computer purposes.. The copy given to an employee and the copy placed in his or her Official Personnel Folder must not show the social security numbers of any other employees.</p>
Agency	<p>Identify your agency and any subelement, if applicable. If the personnel action involves a change between two agencies, identify both. If the subelement code changes, enter both codes. Enter at the bottom of each page of the listing.</p>

Continued on next page

Job Aid**Instructions for Preparing a List Form of Notice, continued**

**Employing Office
and Personnel
Office Identifier**

Identify the employing office and Personnel Office Identifier (POI) number. If the personnel action involves a change between employing offices, identify both. Enter at the bottom of each page of the listing.

**Signature/
Authentication
and Title of
Approving
Official**

Each page of the list must be signed/authenticated. Follow the instructions for completing block 50 provided in the job aid, **Instructions for Completing the Standard Form 50 and for Completing Part B (blocks 1-39) and Parts C, E, and F of the Standard Form 52**, to sign or authenticate the bottom of each page.

Date

Follow instructions for completing block 49 provided in the job aid, **Instructions for Completing the Standard Form 50 and for Completing Part B (blocks 1-39) and Parts C, E, and F of the Standard Form 52**, to enter the appropriate date at the bottom of each page.

Page 4-48 is blank.

Job Aid**Sample List Form of Notice**

Provided below is a sample of the List form of Notice following the instructions in the job aid, **Instructions for Preparing a List Form of Notice**. This format is intended as a sample. Other similar formats may be used as long as they contain the information shown.

Do not show social security numbers and dates of birth on copies of lists furnished to employees or on lists that are filed in Official Personnel Folders.

Personnel Action Listing
(Approved Standard Form 50 Exception)

Nature of Action Code and Action: **352/Termination—Appt in ABC Agency**

Effective Date: **10-10-98**

Authority Code and Authority: **PDM/Reg. 351.302**

From: **Hearings Bureau**
KLM Agency
Washington, DC

To: **ABC Agency**
Washington, DC

Name	Social Security Number	Date of Birth
Willis, Henry A.	000-00-0000	XX-XX-XXXX
Harvey, John F.	000-00-0000	XX-XX-XXXX
Newton, Paul R.	000-00-0000	XX-XX-XXXX

From:	Agency Code	KL-00	To:	Agency Code	BC-00
	POI	1234		POI	5678

John Jones
Personnel Officer

Date: 09-27-98

Table 4-A. Setting Effective Dates

<i>R U L E</i>	<i>A</i>	<i>B</i>	<i>C</i>
	<i>If</i>	<i>And</i>	<i>Then Effective Date May Be</i>
1	A list form of notice is used to document the action		No earlier than the effective date specified in the document that authorized the action.
2	Action is a noncompetitive conversion to career or career-conditional appointment	Conversion does not require the prior approval of the Office of Personnel Management	No earlier than the date on which employee met all of the requirements for conversion.
3		Conversion does require the prior approval of the Office of Personnel Management	No earlier than the date on which the Office of Personnel Management approved the conversion.
4	Conversion is to an appointment under which the employee will have fewer rights and benefits	Conversion is from an appointment in the competitive service to one in the excepted service	Any date after employee has (a) been informed that, because the position is in the excepted service, it cannot be filled by competitive appointment and that acceptance of the proposed appointment will take the employee out of the competitive service; <i>and</i> (b) submitted a written statement that the employee is leaving the competitive service voluntarily to accept an appointment in the excepted service.
5		Conversion is not described in Rule 4	Any date after employee has (a) been informed in writing of the conditions of employment under the new appointment; <i>and</i> (b) submitted a written statement that the employee is leaving previous employment voluntarily to accept conversion to the new appointment (statement should specify the type of appointment employee is leaving and the type the employee is accepting).

Table 4-A. Setting Effective Dates			
<i>R U L E</i>	<i>A</i>	<i>B</i>	<i>C</i>
	<i>If</i>	<i>And</i>	<i>Then Effective Date May Be</i>
6	Action which is not described in Rules 1-5 requires prior approval of the Office of Personnel Management		No earlier than the date on which the Office of Personnel Management approved the action unless that approval specifies an earlier effective date.
7	Conversion is to a career or career-conditional appointment when employee's position is brought into the competitive service		No earlier than the date on which the position was brought into the competitive service.
8	Action requires an advance notice to the employee (for example, 30-day advance notice of decision on a proposed adverse action)		No earlier than the expiration of the notice period.

Table 4-B. Effective Dates Set without Prior Approval of the Appointing Official

<i>R U L E</i>	<i>A</i>	<i>B</i>
	<i>If Action is</i>	<i>Then Effective Date is</i>
1	Required by law, Executive order, or regulation	The date specified in the law, Executive order, or regulation (see Note 1 of this table).
2	Required by court action, settlement agreement, or arbitral award	The date specified in the action, agreement, or award (see Note 2 of this table).
3	Required by an Office of Personnel Management (OPM), Merit Systems Protection Board (MSPB), Equal Employment Opportunity Commission (EEOC), or Federal Labor Relations Agency (FLRA) decision	The date specified in the decision.
4	A death	The date of death shown on the death certificate.
5	A resignation	The date set by the employee. Unless employee specifies otherwise, a resignation is effective at midnight.
6	A disability retirement	See instructions in Chapter 60 of The CSRS and FERS Handbook for Personnel and Payroll Offices .
7	A mandatory retirement	The last day of the month in which the employee reaches the age and completes any length-of-service requirements for the retirement system under which he or she is covered. When employee had an earlier exemption from mandatory retirement, the retirement is effected on the day following the not-to-exceed date of the nature of action 750/Continuance NTE documenting that exemption.
8	A retirement that is not described in Rules 6 or 7	The date set by the employee, provided that on that date employee meets age and length of service requirements for the retirement system under which he or she is covered.
9	Change in tenure or appointment based on completion of service requirements for career or permanent tenure	The day following that on which the service requirement is completed.

Table 4-B. Effective Dates Set without Prior Approval of the Appointing Official, continued

<i>R U L E</i>	<i>A</i>	<i>B</i>
	<i>If Action is</i>	<i>Then Effective Date is</i>
10	Conversion to a competitive service appointment when an employee who has competitive status occupies an excepted service position that is brought into the competitive service	The date the position is brought into the competitive service.
11	Change in Federal Employees Group Life Insurance coverage	The date prescribed in 5 CFR part 87.
12	Pay Adjustment to implement a new pay plan or to change the rates for an existing pay plan	The date set by the Executive Order, Office of Personnel Management, or an agency issuance that established the plan or announced the rates.
13	Change to Lower Grade following a temporary promotion	The day following the not-to-exceed date of the temporary promotion <i>unless</i> the appointing officer approves another action for the employee.
14	Termination of Grade Retention	At the end of the two-year period of grade retention (for example, if grade retention begins 07-23-96, the termination action is effective on 07-22-98 at midnight).
15	Leave without pay, <i>except</i> during a reduction in force notice period or for assignment to State or local government under the Intergovernmental Personnel Act	The date approved by the employee's supervisor (or other official designated by the agency) on the Standard Form 52, Request for Personnel Action.
16	Return to duty from leave without pay or nonpay status	
17	Detail or Termination of Detail	
18	Change in Work Schedule	
19	Change in Hours for an employee with a part-time work schedule	

NOTES:

1. When an effective date is not specified, the effective date set by the agency may be on or after the effective date of the law, regulation or Executive order.
2. When an effective date is not specified, the effective date set by the agency may be on or after the effective date of the court action, agreement or award.

Table 4-C. Determining the Pay Rate Determinant (PRD)

<i>R U L E</i>	<i>A</i>	<i>B</i>	<i>C</i>	<i>D</i>	<i>E</i>
	<i>If the Employee</i>	<i>And</i>	<i>And</i>	<i>And</i>	<i>Then PRD Code is</i>
1	Receives a scheduled rate and is not covered by one of the codes below				0
2	Is paid a special rate established to recruit well-qualified individuals in selected occupations and locations	does not have retained grade	employee is appointed at a superior qualifications rate		5 (See Note 2 of this table)
3			employee is not appointed at a superior qualifications rate		6
4		has retained grade	employee occupies a different position than that held before the grade reduction		E
5			employee occupies the same position		F
6		Is appointed at a superior qualifications rate (meaning, is hired at a pay rate above the minimum rate of the grade)	is also entitled to a special rate		
7	is not entitled to a special rate		7 (See Note 1 of this table)		

Table 4-C. Determining the Pay Rate Determinant (PRD), continued

<i>R U L E</i>	<i>A</i>	<i>B</i>	<i>C</i>	<i>D</i>	<i>E</i>
	<i>If the Employee</i>	<i>And</i>	<i>And</i>	<i>And</i>	<i>Then PRD Code is</i>
8	Retains grade for a 2-year period	occupies the same position	is not entitled to a special rate		B
9			is entitled to a special rate		F
10			receives retained pay		U
11		occupies a different position	is not entitled to a special rate		A
12			is entitled to a special rate		E
13			receives retained pay		V
14	Is entitled to retained pay for reasons other than service in the Senior Executive Service and rules 21 through 24	entitlement is under 5 U.S. C. 5363(a)(1), 5 U.S.C. 5363(a)(3), or 5 CFR 536.104 (except 5 CFR 536.104(a)(3))	employee occupies the same position	has retained grade	U
15			employee occupies a different position	does not have retained grade	J
16			employee occupies a different position	has retained grade	V
17				does not have retained grade	K
18		entitlement is under 5 CFR 536.104(a)(3)			3
19	Retains Senior Executive Service pay	is a career Senior Executive Service employee appointed to a position for which the rate of basic pay is equal to or greater than the rate payable for level V of the Executive Schedule	elected to continue to receive basic pay as if remaining in the Senior Executive Service in accordance with 5 U.S.C. 3392(c) and 5 CFR part 317, subpart H		S

Table 4-C. Determining the Pay Rate Determinant (PRD), continued

<i>R U L E</i>	<i>A</i>	<i>B</i>	<i>C</i>	<i>D</i>	<i>E</i>
	<i>If the Employee</i>	<i>And</i>	<i>And</i>	<i>And</i>	<i>Then PRD Code is</i>
20	Retains Senior Executive Service pay	is a former career Senior Executive Service employee who has been removed from the Senior Executive Service	is receiving a retained rate of pay under 5 CFR 359.705		R
21	Is receiving pay greater than would otherwise be payable for the employee's position because the position has been designated critical by the Office of Management and Budget in consultation with the Office of Personnel Management				C
22	Retains pay without time limitation, at a pay rate above the maximum rate for the grade, for reasons other than those discussed in the rules above	prior to Jan. 11, 1979, the employee and his or her position was converted from one pay plan to another	the employee was not entitled to other grade or pay retention		2
23		is paid a saved rate and no other code is applicable (for example, when employee is promoted from a special rate position to a non-special rate position and receives a saved rate under 5 CFR 531.205(a)(3))			4
24		on or before June 30, 1984, the employee was a Foreign Service domestic employee who converted to the General Schedule in accordance with Public Law 96-465			2

Table 4-C. Determining the Pay Rate Determinant (PRD), continued

<i>R U L E</i>	<i>A</i>	<i>B</i>	<i>C</i>	<i>D</i>	<i>E</i>
	<i>If the Employee</i>	<i>And</i>	<i>And</i>	<i>And</i>	<i>Then PRD Code is</i>
25	Is in an Interim Geographic Area (IGA) or a Law Enforcement Officer (LEO) pay area	Continues to receive an adjusted rate of pay based on top of a nationwide or worldwide special salary rate			M

NOTES:

1. Use PRD "7" on the action that appoints the employee at the superior qualifications rate; then use PRD "0" on subsequent actions.
2. Use PRD "5" on the action that appoints the employee at the superior qualifications rate; then use PRD "6" on subsequent actions while the employee receives a special rate of pay.

Table 4-D. Annuitant Status

R U L E	A	B	C	D
	If appointee is	And	And	Then enter in block 28 of the Standard Form 50
1	Retired under the Civil Service Retirement System	will <i>not</i> be subject to a pay reduction under 5 U.S.C. 8344	Is also a retired Uniformed Services officer	7 Ret Off/CS-No Reduc
2			Is also a retired Uniformed Services enlisted member	8 Ret Enl/CS-No Reduc
3			Is not a Uniformed Services retiree	6 CS-No Reduction
4		will be subject to a pay reduction under 5 U.S.C. 8344	Is also a retired Uniformed Services officer	4 Ret Off/Reempl Ann-CS
5			Is also a retired Uniformed Services enlisted member	5 Ret Enl/Reempl Ann-CS
6			Is not a Uniformed Services retiree	1 Reempl Ann-CS
7	Retired under the Federal Employees Retirement System (FERS)	annuity has already stopped or will stop upon appointment	Is also a retired Uniformed Services officer	D Ret Off/Former Ann-FE
8			Is also a retired Uniformed Services enlisted member	F Ret Enl/Former Ann-FE
9			Is not a Uniformed Services retiree	B Former Ann-FE
10		annuity will continue but pay <i>will not</i> be subject to reduction under 5 U.S.C. 8468	Is also a retired Uniformed Services officer	H Ret Off/FE-No Reduc
11			Is also a retired Uniformed Services enlisted member	J Ret Enl/FE-No Reduc
12			Is not a Uniformed Services retiree	G FE-No Reduction

Table 4-D. Annuitant Status (Continued)

R U L E	A	B	C	D
	If appointee is	And	And	Then enter in block 28 of the Standard Form 50
13	Retired under the Federal Employees Retirement System	annuity will continue and pay will be subject to reduction under 5 U.S.C. 8468	Is also a retired Uniformed Services officer	C Ret Off/Reempl Ann-FE
14			Is also a retired Uniformed Services enlisted member	E Ret Enl/Reempl Ann-FE
15			Is not a Uniformed Services retiree	A Reempl Ann-FE
16	A Uniformed Services retiree	Is an officer who is not described in rules 1, 4, 7, 10, or 13		2 Ret Officer
17		Is an enlisted member who is not described in rules 2, 5, 8, 11, or 14		3 Ret Enlisted
18	Not described in rules 1-17			9 Not applicable

**Chapter 11. Excepted Service Appointments
(Natures of Action 130, 170, 171, 190, 570, 571, 590, 760)**

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Chapter 11. Excepted Service Appointments

1. Coverage.

This chapter covers all appointments, conversions to appointments, and extensions of temporary appointments that are made without regard to the competitive requirements of the civil service rules and regulations and that are not covered by the Panama Canal Employment System (PCES) and the Senior Executive Service (SES) (Instructions for PCES appointments are published separately by the Panama Canal Commission. Instructions for SES appointments are published in Chapter 13.)

2. Definitions.

a. An appointment brings an individual onto the rolls (staff) of an agency.

b. A conversion changes an employee from one appointment to another appointment (under either the same or a different authority) in the same agency with no break in service or with a break of 3 days or less.

c. An extension continues a time-limited appointment (one with an NTE date) up to the maximum time allowed by the authority under which it was effected.

d. A Provisional Appointment NTE is a temporary appointment to a continuing position when the agency intends later to convert the employee to a nontemporary appointment, *and* has appropriate authority for the conversion at the time of the temporary appointment.

3. Special Conditions.

When making appointments in the excepted service, certain special conditions may impact the documentation of the personnel actions and require additional instructions.

a. Retired persons. When the person being appointed is retired from Federal civilian service, *** you must follow the instructions in

Chapter 3 as well as those instructions appropriate for excepted service appointments.

b. Separations by RIF. If an employee who is to be separated by reduction in force (RIF) procedures accepts a nonpermanent *appointment* in the same agency, each action must be documented separately, regardless of when the new appointment begins: the losing office processes a 356/Separation-RIF and the gaining offices processes the new appointment. If an employee accepts an offer of assignment under the RIF regulations to a specifically temporary *position* (e.g., if a career employee accepts an offer of assignment to a position that is scheduled to be abolished in a year), the action is processed as a Reassignment, Position Change, etc., following the instructions in Chapter 14.

c. Concurrent employment. If employee will be employed concurrently in two (or more) agencies, follow instructions in the “Federal Employees’ Group Life Insurance: A Handbook for Employees, Annuitants, Compensationers and Employing Offices” and the “Federal Employees’ Health Benefit Program: A Handbook for Enrollees and Employing Offices” to determine how health benefits and FEGLI will be handled, and to document those determinations on the Standard Form (SF) 52 (and SF 50).

Instructions for Processing Personnel Actions on Appointments in the Excepted Service

Job Aid # 5

STEP	ACTION	
1	<p>When actions involve persons new to the rolls of your agency, compare data on the SF 52 submitted by the requesting office with the applications and other documents submitted.</p> <p>When actions involve persons already on the rolls of your agency, compare data on the SF 52 submitted by the requesting office with the last action in the employee's Official Personnel Folder (OPF) to be sure it is correct. Then follow any of the instructions that are applicable:</p>	
	If the employee...	Then...
	<p>Is being converted to a new appointment on the same date that he or she returns to duty from nonpay status,</p>	<p>Both the return-to-duty (RTD) action and the conversion must be documented.</p> <p>Follow the instructions in Chapter 16 to document the RTD and the instructions in this chapter to document the conversion. If the actions are being documented on a single SF 52 (and SF 50), enter the nature of action and authority for the RTD in blocks 5A-5F.</p>
	<p>Will change the work schedule, or the number of hours he or she works on a part-time basis, will change as a result of a conversion action,</p>	<p>The new schedule/hours must be documented.</p> <p>Follow the instructions in Chapter 24 to select the nature of action, authority and remarks for the change in work schedule or hours.</p> <p>If the conversion and the change in work schedule or hours are being documented on a single SF 52 (and SF 50), enter the nature of action and authority for the change in work schedule or hours in blocks 6A-6F; for a Chg in Hours action, enter the new hours per pay period in block 33.</p>
	continued on next page	

Job Aid #5. Instructions for Processing Personnel Actions on Appointments in the Excepted Service, continued

STEP	ACTION	
1	When actions involve persons already on the roles of your agency..., continued.	
	<p data-bbox="532 485 716 516">If the employee...</p> <p data-bbox="394 541 846 667">Will change the work schedule, or the number of hours he or she works on a part-time basis, will change as a result of a conversion action,</p>	<p data-bbox="1089 485 1166 516">Then...</p> <p data-bbox="886 541 1365 793">When an RTD and a conversion are effective on the same date as a change in work schedule or hours, and the RTD and conversion are being recorded on the same action, document the new work schedule in block 32 and the new hours in block 33; there is no need for a separate Chg in Work Schedule or Chg in Hours action.</p>
	<p data-bbox="394 825 797 919">Is voluntarily converting from a competitive service appointment to an excepted service appointment,</p>	<p data-bbox="886 825 1344 940">Obtain a statement from the employee that the employee is leaving the competitive service voluntarily to accept appointment in the excepted service.</p>
2	<p data-bbox="349 974 1284 1037">Use Table 11-A or 11-B to select the nature of action and authority for the appointment or conversion and put them in blocks 5A-5F of the SF 52.</p> <p data-bbox="349 1068 1360 1161">If the action is being taken under an authority that is unique to your department or agency, cite that authority (along with the authority code approved by OPM) instead of the authority and code shown in this chapter.</p>	
3	<p data-bbox="349 1192 1373 1285">Use Table 11-C to select remarks codes/remarks required by OPM for the action and enter them in Part F of the SF 52. Also enter in Part F any additional remarks codes/remarks that are required by your agency's instructions or that are necessary to explain the action.</p>	
4	<p data-bbox="349 1310 1365 1402">Use Chapter 3 to see what forms must be obtained or prepared with the action. You may need information from them to complete the SF 52. Follow instructions in that chapter to complete and distribute them.</p>	
5	<p data-bbox="349 1428 1122 1459">Fill in remaining blocks on SF 52 as required by instructions to Chapter 4.</p> <p data-bbox="349 1491 1365 1583">To identify an excepted appointment that is "conditional," enter "2" in block 24 of the SF 52; to identify an excepted appointment that is "indefinite," or "provisional" enter "3" in block 24 of the SF 52.</p> <p data-bbox="349 1617 1328 1648">Follow your agency's instructions to obtain approval signature in Part C, block 2, of the SF 52.</p>	
6	<p data-bbox="349 1675 1398 1738">Prepare the SF 50 from the information on the SF 52. Refer to Chapter 4 to see how the SF 50 should be completed. Follow your agency's instructions to have it signed or authenticated.</p>	
<p data-bbox="1161 1766 1406 1791">continued on next page</p>		

Job Aid #5. Instructions for Processing Personnel Actions on Appointments in the Excepted Service, continued

STEP	ACTION	
7	Check The Guide to Personnel Recordkeeping to decide if any of the documents submitted with or created in connection with the action should be filed on the right side of the employee's Official Personnel Folder. Follow your agency's instructions to dispose of those not filed in the folder.	
8		
	<p style="text-align: center;">If the employee is...</p> <p>Being converted to a new appointment and will be serviced by a new payroll office,</p>	<p style="text-align: center;">Then...</p> <p>Give the employee, before the effective date of the conversion, a completed SF 8, Notice to Federal Employee About Unemployment Insurance. Show the full name and address of payroll office where the individual's records are maintained.</p>
	<p>Coming from another agency,</p>	<p>Make another copy of the SF 50 (or list form of notice).</p> <p>Send it to the servicing personnel office in the "losing" agency, and request that employee's OPF and leave record (SF 1150) be forwarded to your office.</p> <p>If a copy of the appointment SF 50 (the "pick-up 50") cannot be sent to the losing agency within five days of the effective date of the appointment, send a copy of the appointment SF 52. That copy must show the effective date of the appointment and have the appointing official's signature in the approval block (Part C, block 2) of the SF 52.</p> <p>Note: When the gaining agency is using an OPM-approved electronic SF 52 or SF 52 signature system, use a letter or other written document as required by the losing agency to request the OPF. The request letter or other written document as required by the losing agency must be signed by the appointing official and contain the information in Part B, blocks 1-6 and 15-22, of the SF 52.</p>
continued on next page		

Job Aid #5. Instructions for processing Personnel Actions on Appointments in the Excepted Service, continued

STEP	ACTION
	Prepare and distribute notices, continued:
9	Follow your agency instructions to distribute the Standard Form 50 copies.

Table Summary: Table 11-A. Excepted Service Appointments

<i>If Appointment Is</i>	<i>Go to Rules</i>
On a provisional basis	7-8
Under VRA authority	9-13
Under the Student Educational Employment Program	14-33
Based on a move from the SES	34-37
By the President	38-45
Of an Expert or Consultant	46-49
Of a foreign national overseas	50-53
Under the IPA	54

Not listed above	
! Under Schedule A, B, or C authority	1-4, 55-58
! Under another authority	63-66
! Extension of an Exc Appt	67

Page 11-10 is blank.

Table 11-A. Excepted Appointments that are not Based on Exercise of Reemployment or Restoration Rights

<i>R</i>	<i>A</i>	<i>B</i>	<i>C</i>	<i>D</i>	<i>E</i>	<i>F</i>	<i>G</i>
<i>U</i> <i>L</i> <i>E</i>	<i>If the person</i>	<i>And the appointment</i>	<i>And the person</i>	<i>Then NOAC is</i>	<i>NOA is</i>	<i>Auth code is</i>	<i>And Authority is (See Notes 1-4 of this table)</i>
1	Is being employed under a Schedule A, B, or C authority that is not specifically covered by the rules below	Is without time limitation	Is not on your agency's rolls	170	Exc Appt	(Cite code for Schedule A, B, or C authority that authorizes the appointment or conversion)	(Cite authority under Schedule A, B, or C that authorizes the appointment or conversion)
2			Is already on the rolls of your agency	570	Conv to Exc Appt		
3		Is temporary	Is not on your agency's rolls	171	Exc Appt NTE (date)		
4			Is already on the rolls of your agency	571	Conv to Exc Appt NTE (date)		
5	Reserved						
6	Reserved						
7	Is being appointed on a temporary basis to a continuing position when the agency intends later to convert the employee to a >non-temporary< position and has current authority for such conversion		Is not on your agency's rolls	190	Provisional Appt NTE (date)	(Cite code for the Sch A, B, or C, statutory, or regulatory authority for the appointment)	(Cite the Sch A, B, or C, statutory, or regulatory authority for the appointment)
8			Is already on the rolls of your agency	590	Conv to Provisional Appt NTE (date)		

Table 11-A. Excepted Appointments that are not Based on Exercise of Reemployment or Restoration Rights (Continued)

<i>R U L E</i>	<i>A</i>	<i>B</i>	<i>C</i>	<i>D</i>	<i>E</i>	<i>F</i>	<i>G</i>
	<i>If the person</i>	<i>And the appointment</i>	<i>And the person</i>	<i>Then NOAC is</i>	<i>NOA is</i>	<i>Auth code is</i>	<i>And Authority is (See Notes 1-4 of this table)</i>
9	Is already employed under the Veterans Readjustment Authority (VRA) in a different agency	Is to a VRA position without a break in service		130	Transfer	J8M	Reg. 307.103
10	Is being employed under the Veterans Readjustment Authority (VRA) on an appointment without time limitation (see Note 5 of this table)		Is not on your agency's rolls	170	Exc Appt		
11			Is already on the rolls of your agency	570	Conv to Exc Appt		
12			Is not on your agency's rolls	171	Exc Appt NTE (date)		
13			Is already on the rolls of your agency	571	Conv to Exc Appt NTE (date)		
14	Is a student in a high school diploma program	Is under the Student Temporary Employment Program of the Student Educational Program	Is not on your agency's rolls	171	Exc Appt NTE (date)	Y1K	Sch B, 213.3202(a)-HS
15			Is already on the rolls of your agency	571	Conv to Exc Appt NTE (date)		

Table 11-A. Excepted Appointments that are not Based on Exercise of Reemployment or Restoration Rights (Continued)

<i>R U L E</i>	<i>A</i>	<i>B</i>	<i>C</i>	<i>D</i>	<i>E</i>	<i>F</i>	<i>G</i>
	<i>If the person</i>	<i>And the appointment</i>	<i>And the person</i>	<i>Then NOAC is</i>	<i>NOA is</i>	<i>Auth code is</i>	<i>And Authority is (See Notes 1-4 of this table)</i>
16	Is a student in a post-high school certificate or diploma program (e.g., a vocational or technical certificate program)	Is under the Student Temporary Employment Program of the Student Educational Employment Program	Is not on your agency's rolls	171	Exc Appt NTE (date)	Y2K	Sch B, 213.3202(a)-Voc/Tech
17			Is already on the rolls of your agency	571	Conv to Exc Appt NTE (date)		
18	Is a student in an associate degree program		Is not on your agency's rolls	171	Exc Appt NTE (date)	Y3K	Sch B, 213.3202(a)-Assoc
19			Is already on the rolls of your agency	571	Conv to Exc Appt NTE (date)		
20	Is a student in a baccalaureate degree program		Is not on your agency's rolls	171	Exc Appt NTE (date)	Y4K	Sch B, 213.3202(a)-BA/BS
21			Is already on the rolls of your agency	571	Conv to Exc Appt NTE (date)		
22	Is a student in a graduate or professional degree program		Is not on your agency's rolls	171	Exc Appt NTE (date)	Y5K	Sch B, 213.3202(a)-Grad/Prof
23			Is already on the rolls of your agency	571	Conv to Exc Appt NTE (date)		

Table 11-A. Excepted Appointments that are not Based on Exercise of Reemployment or Restoration Rights (Continued)

<i>R U L E</i>	<i>A</i>	<i>B</i>	<i>C</i>	<i>D</i>	<i>E</i>	<i>F</i>	<i>G</i>
	<i>If the person</i>	<i>And the appointment</i>	<i>And the person</i>	<i>Then NOAC is</i>	<i>NOA is</i>	<i>Auth code is</i>	<i>And Authority is (See Notes 1-4 of this table)</i>
24	Is a student in a high school diploma program	Is under the Student Career Experience Program of the Student Educational Employment Program	Is not on your agency's rolls	170	Exc Appt	YBM	Sch B, 213.3202(b)-HS
25			Is already on the rolls of your agency	570	Conv to Exc Appt		
26	Is a student in a post-high school certificate or diploma program (e.g., vocational or technical certificate program)		Is not on your agency's rolls	170	Exc Appt	YGM	Sch B, 213.3202(b)-Voc/Tech
27			Is already on the rolls of your agency	570	Conv to Exc Appt		
28	Is a student in an associate degree program		Is not on your agency's rolls	170	Exc Appt	Y3M	Sch B, 213.3202(b)-Assoc
29			Is already on the rolls of your agency	570	Conv to Exc Appt		
30	Is a student in a baccalaureate degree program		Is not on your agency's rolls	170	Exc Appt	Y1M	Sch B, 213.3202(b)-BA/BS
31			Is already on the rolls of your agency	570	Conv to Exc Appt		
32	Is a student in a graduate or professional degree program	Is not on your agency's rolls	170	Exc Appt	Y2M	Sch B, 213.3202(b)-Grad/Prof	
33		Is already on the rolls of your agency	570	Conv to Exc Appt			

Table 11-A. Excepted Appointments that are not Based on Exercise of Reemployment or Restoration Rights (Continued)

<i>R U L E</i>	<i>A</i>	<i>B</i>	<i>C</i>	<i>D</i>	<i>E</i>	<i>F</i>	<i>G</i>
	<i>If the person</i>	<i>And the appointment</i>	<i>And the person</i>	<i>Then NOAC is</i>	<i>NOA is</i>	<i>Auth code is</i>	<i>And Authority is (See Notes 1-4 of this table)</i>
34	Is converted from an SES career appointment under which the individual had guaranteed placement rights to an appointment in the excepted service	Is based on unacceptable performance during the SES probationary period	Is already on the rolls of your agency	570	Conv to Exc Appt	(Cite code for authority under which conversion is effected) and VDJ	(Cite the authority under which the conversion is effected) and 5 U.S.C. 3594(a)
35		Is based on less than fully successful performance following the SES probationary period				(Cite code for authority under which conversion is effected) and VCS	(Cite the authority under which the conversion is effected) and 5 U.S.C. 3594(b)(1)
36		Is based on a reduction in force in the SES				(Cite code for authority under which conversion is effected) and VCT	(Cite the authority under which the conversion is effected) and 5 U.S.C. 3594(b)(2)
37		Is based on failure to be recertified in the SES				(Cite code for authority under which conversion is effected) and VCW	(Cite the authority under which the conversion is effected) and 5 U.S.C. 3594(b)(3)

Table 11-A. Excepted Appointments that are not Based on Exercise of Reemployment or Restoration Rights (Continued)

<i>R U L E</i>	<i>A</i>	<i>B</i>	<i>C</i>	<i>D</i>	<i>E</i>	<i>F</i>	<i>G</i>
	<i>If the person</i>	<i>And the appointment</i>	<i>And the person</i>	<i>Then NOAC is</i>	<i>NOA is</i>	<i>Auth code is</i>	<i>And Authority is (See Notes 1-4 of this table)</i>
38	Is appointed by the President with the advice and consent of the Senate	Is without time limitation	Is not on your agency's rolls	170	Exc Appt	ZNM	(Enter Law, E.O., or Reg. that authorizes the Presidential appointment with advice and consent of the Senate)
39			Is already on the rolls of your agency	570	Conv to Exc Appt		
40		Is temporary	Is not on your agency's rolls	171	Exc Appt NTE (date)		
41			Is already on the rolls of your agency	571	Conv to Exc Appt NTE (date)		
42	Is appointed by the President when advice and consent of the Senate is not required	Is without time limitation	Is not on your agency's rolls	170	Exc Appt	ZKM	(Enter Law, E.O., or Reg. that authorizes the Presidential appointment)
43			Is already on the rolls of your agency	570	Conv to Exc Appt		
44		Is temporary	Is not on your agency's rolls	171	Exc Appt NTE (date)		
45			Is already on the rolls of your agency	571	Conv to Exc Appt NTE (date)		
46	Is an expert or consultant appointed under the authority of 5 U.S.C. 3109 and agency's appropriation act or other statute	Is without time limitation	Is not on your agency's rolls	170	Exc Appt	H2L	Reg. 304.103

Table 11-A. Excepted Appointments that are not Based on Exercise of Reemployment or Restoration Rights (Continued)

<i>R U L E</i>	<i>A</i>	<i>B</i>	<i>C</i>	<i>D</i>	<i>E</i>	<i>F</i>	<i>G</i>
	<i>If the person</i>	<i>And the appointment</i>	<i>And the person</i>	<i>Then NOAC is</i>	<i>NOA is</i>	<i>Auth code is</i>	<i>And Authority is (See Notes 1-4 of this table)</i>
47	Is an expert or consultant appointed under the authority of 5 U.S.C. 3109 and agency's appropriation act or other statute	Is without time limitation	Is already on the rolls of your agency	570	Conv to Exc Appt	H2L	Reg. 304.103
48		Is temporary	Is not on your agency's rolls	171	Exc Appt NTE (date)		
49			Is already on the rolls of your agency	571	Conv to Exc Appt NTE (date)		
50	Is a foreign national recruited overseas for an overseas position	Is without time limitation	Is not on your agency's rolls	170	Exc Appt	BPM	CS Rule 8.3
51			Is already on the rolls of your agency	570	Conv to Exc Appt		
52		Is temporary	Is not on your agency's rolls	171	Exc Appt NTE (date)		
53			Is already on the rolls of your agency	571	Conv to Exc Appt NTE (date)		
54	Is selected under the Intergovernmental Personnel Act (IPA)	Is under the authority of 5 U.S.C. 3374	Is not on your agency's rolls	171	Exc Appt NTE (date)	VPE	5 U.S.C. 3374

Table 11-A. Excepted Appointments that are not Based on Exercise of Reemployment or Restoration Rights (Continued)

<i>R U L E</i>	<i>A</i>	<i>B</i>	<i>C</i>	<i>D</i>	<i>E</i>	<i>F</i>	<i>G</i>
	<i>If the person</i>	<i>And the appointment</i>	<i>And the person</i>	<i>Then NOAC is</i>	<i>NOA is</i>	<i>Auth code is</i>	<i>And Authority is (See Notes 1-4 of this table)</i>
55	Is employed under the authority of Sch A, 213.3102(i) in a position for which a critical hiring need exists	Is temporary	Is not on your agency's rolls	171	Exc Appt NTE (date)	W9P	Sch A, 213.3102(i)(2)
56			Is already on the rolls of your agency	571	Conv to Exc Appt NTE (date)		
57		Is without time limitation on a less than full-time basis	Is not on your agency's rolls	170	Exc Appt		
58			Is already on the rolls of your agency	570	Conv to Exc Appt		
59	Reserved						
60	Reserved						
61	Reserved						
62	Reserved						

Table 11-A. Excepted Appointments that are not Based on Exercise of Reemployment or Restoration Rights (Continued)

<i>R U L E</i>	<i>A</i>	<i>B</i>	<i>C</i>	<i>D</i>	<i>E</i>	<i>F</i>	<i>G</i>
	<i>If the person</i>	<i>And the appointment</i>	<i>And the person</i>	<i>Then NOAC is</i>	<i>NOA is</i>	<i>Auth code is</i>	<i>And Authority is (See Notes 1-4 of this table)</i>
63	Is employed under the authority of any other law, Executive Order or Reg. not covered in the preceding rules of this Table (including Experts and Consultants employed under agency authority similar to that of 5 U.S.C. 3109)	Is without time limitation	Is not on your agency's rolls	170	Exc Appt	ZLM	(Enter Law, E.O., or Reg. that authorizes the appointment or conversion)
64			Is already on the rolls of your agency	570	Conv to Exc Appt		
65		Is temporary	Is not on your agency's rolls	171	Exc Appt NTE (date)		
66			Is already on the rolls of your agency	571	Conv to Exc Appt NTE (date)		
67	Is serving on an Exc Appt NTE	Is being extended	Is already on the rolls of your agency	760	Ext of Appt NTE (date)	(Enter same auth code as for the Exc Appt NTE)	(Enter same authority as for the Exc Appt NTE)

NOTES:

1. ZLM: Other Citation (Law, EO, or Reg) may be cited in addition to any other authority or authorities required by this Table. Cite ZLM immediately after the authority or authorities required by this table. If a Standard Form 59, Request for Approval of Non-Competitive Action, was obtained from the Office of Personnel Management for the action, also include with the authorities ABM: SF 59 approved (date). Cite ABM as the last authority.

2. If appointment was made using special section priority under the agency's Career Transition Assistance Program (CTAP), cite ABR: Reg 330.608 following the authorities required by this Table and ZLM, if used.

3. When appointee or employee was selected on the basis of bicultural/bilingual selective factors, show as the second authority (in blocks 5E-5F or 6E-6F of the Standard Form 50, Notification of Personnel Action), ABL: Bicultural/Bilingual Selective Factors.

4. For information on **Schedule A, B, and C, see part 213 of title 5, Code of Federal Regulation**. For authority codes for Schedules A, B, and C, see Figure 11-1, or **The Guide to Personnel Data Standards**.

5. Veterans' Readjustment Appointment appointees are placed in Tenure Group II of the Excepted Service.

6. These instructions apply only when the Veterans' Readjustment Appointment is to a position in an excepted service agency or organization. When a Veterans' Readjustment Appointment is made on a temporary basis to a position in the competitive service, follow the instructions in Chapter 10.

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Table 11-B. Excepted Appointments Based on Exercise of Reemployment or Restoration Rights

<i>R U L E</i>	<i>A</i>	<i>B</i>	<i>D</i>	<i>E</i>	<i>F</i>	<i>G</i>
	<i>If the person</i>	<i>And</i>	<i>Then NOAC is</i>	<i>NOA Is</i>	<i>Auth Code Is</i>	<i>And Authority Is (See Notes 1-4 of this table)</i>
1	Is exercising statutory restoration rights upon return from uniformed service	Appointment held prior to the separation upon which restoration is based was without time limitation	170	Exc Appt	QAK and (Cite auth code for the appointment held prior to the separation upon which restoration is based)	Reg. 353.207 and (Cite authority for the appointment held prior to the separation upon which restoration is based)
2		Appointment held prior to the separation upon which restoration is based was temporary	171	Exc Appt NTE (date)		
3	Is ordered by MSPB directive to be restored to duty when person appeals failure to restore or improper restoration after uniformed service (see Note 5 of this table)	Appointment held prior to the separation upon which restoration is based was without time limitation	170	Exc Appt	ALM and (Cite auth code for the appointment held prior to the separation upon which restoration is based)	MSPB Directive—US and (Cite authority for the appointment held prior to the separation upon which restoration is based)
4		Appointment held prior to the separation upon which restoration is based was temporary	171	Exc Appt NTE (date)		
5	Is exercising statutory restoration rights upon full recovery from a compensable injury		170	Exc Appt	QBK and (Cite auth code for the appointment held prior to the separation upon which reemployment is based)	Reg. 353.301 and (Cite authority for the appointment held prior to the separation upon which restoration is based)
6	Is appointed based on his or her partial recovery from a compensable injury				QCK and (Cite auth code for the appointment held prior to the separation upon which reemployment is based)	Reg. 353.301(d) and (Cite authority for the appointment held prior to the separation upon which reemployment is based)

Table 11-B. Excepted Appointments Based on Exercise of Reemployment or Restoration Rights (Continued)

<i>R</i>	<i>A</i>	<i>B</i>	<i>D</i>	<i>E</i>	<i>F</i>	<i>G</i>
<i>U</i>	<i>If the person</i>	<i>And</i>	<i>Then</i>	<i>NOA Is</i>	<i>Auth Code Is</i>	<i>And Authority Is</i>
<i>L</i>			<i>NOAC is</i>			<i>(See Notes 1-4 of this</i>
<i>E</i>						<i>table)</i>
7	Is ordered by MSPB Directive to be restored to duty after person appeals failure to restore or improper restoration upon recovery from compensable injury (see Note 5 of this table)		170	Exc Appt	AQM and (Cite auth code for the appointment held prior to the separation upon which restoration is based)	MSPB Directive Inj and (Cite authority for the appointment held prior to the separation upon which restoration is based)
8	Exercises reemployment rights after having moved between executive agencies during an emergency				PWM and (Cite auth code for the appointment held prior to the separation upon which reemployment is based)	Reg. 352.204 and (Cite authority for the appointment held prior to the separation upon which reemployment is based)
9	Exercises reemployment rights after having transferred to an international organization	Is not on your agency's rolls	170	Exc Appt	P3M and (Cite auth code for the appointment held prior to the separation upon which reemployment is based)	Reg. 352.311 and (Cite authority for the appointment held prior to the separation upon which reemployment is based)
10	Exercises reinstatement rights after serving in the Agency for International Development under sections 233(d) and 625(b) of the Foreign Assistance Act				P5M and (Cite auth code for the appointment held prior to the separation upon which reemployment is based)	Reg. 352.507 and (Cite authority for the appointment held prior to the separation upon which reemployment is based)
11		Is already on the rolls of your agency	570	Conv to Exc Appt		

Table 11-B. Excepted Appointments Based on Exercise of Reemployment or Restoration Rights (Continued)

<i>R U L E</i>	<i>A</i>	<i>B</i>	<i>D</i>	<i>E</i>	<i>F</i>	<i>G</i>
	<i>If the person</i>	<i>And</i>	<i>Then NOAC is</i>	<i>NOA Is</i>	<i>Auth Code Is</i>	<i>And Authority Is (See Notes 1-4 of this table)</i>
12	Exercises reemployment rights after service with the American Institute in Taiwan	Is not on your agency's rolls	170	Exc Appt	P7M	Reg. 352.803
13	Exercises reemployment rights under circumstances not covered in Rules 1-12				ZRM and (Cite auth code for the appointment held prior to the separation upon which reemployment is based)	(Cite authority for the reemployment) and (Cite authority for the appointment held prior to the separation upon which reemployment is based)
14		Is already on the rolls of your agency	570	Conv to Exc Appt	ZRM and (Cite auth code for the appointment held prior to the separation upon which reemployment is based)	(Cite authority for the reemployment) and (Cite authority for the appointment held prior to the separation upon which reemployment is based)

NOTES:

1. *ZLM: Other Citation (Law, E.O., or Reg)* may be cited in addition to any other authority or authorities required by this Table. Cite *ZLM* immediately after the authority or authorities required by this table.
2. If an SF 59 was obtained from OPM for the action, also include with the authorities *ABM: SF 59 approved (date)*. Cite *ABM* as the last authority.
3. For information on **Schedule A, B, and C, see part 213 of title 5, Code of Federal Regulations**. For authority codes for Schedules A, B, and C, see Figure 11-1, or **The Guide to Personnel Data Standards**.
4. On a restoration or reemployment action, cite as the second authority the one that was used for the last appointment or conversion to appointment that occurred before the employee left his or her agency. Use **The Guide to Personnel Data Standards** to identify the code for that legal authority.
5. If MSPB determines restoration was improper, cancel it following instructions in Chapter 32 of this **Guide**.

Table 11-C. Remarks to be Shown on SF 50 (See Note 1 of this table)

<i>R</i>	<i>A</i>	<i>B</i>	<i>C</i>	<i>D</i>
<i>U</i>	<i>If</i>	<i>And</i>	<i>Then Remark Code Is</i>	<i>And Remark Is</i>
<i>L</i>				
<i>E</i>				
1	Employee was required to complete an appointment affidavit, SF 61.		M01	Appointment affidavit executed (date).
2	Action is an appointment or a conversion to appointment		M39	Creditable Military Service: (enter yrs and mos, e.g., "6 yrs, 7 mos") [This remark is not required for reemployed Civil Service annuitants. For other employees, where there is no prior military service, enter "none;" otherwise, follow the instructions in Chapter 6 to calculate years and months of service.]
3			M40	Previous Retirement Coverage: (enter "never covered" or "previously covered") ["Previously covered" indicates that employee was previously covered by the CSRS or the FERS.]
4	Appointment requires employee to complete a trial period	Employee has not completed that trial period	E19	Appointment is subject to completion of 1 year trial period beginning (date).
5		Employee has already completed that trial period	E03	Trial period completed.
6	Employee is given excepted appointment in an agency which uses an appointment system equivalent to the career-conditional appointment system in the competitive service	Employee has not completed the service requirement for Tenure Group I	T09	Service counting towards permanent tenure from (date).
7		Employee has completed the service requirement for Tenure Group I	T08	Service counting towards permanent tenure from (date) to (date).

Table 11-C. Remarks to be Shown on SF 50 (See Note 1 of this table) (Continued)

<i>R</i>	<i>A</i>	<i>B</i>	<i>C</i>	<i>D</i>
<i>U</i>	<i>If</i>	<i>And</i>	<i>Then Remark</i>	<i>And Remark Is</i>
<i>L</i>			<i>Code Is</i>	
<i>E</i>				
8	Employee qualified for position under a training agreement under which he or she is placed directly into target occupation without first meeting qualification standards		E56	Qualified for this position only under training agreement. Not eligible for other positions in this series until satisfactorily completes prescribed training.
9	Employee is a seasonal employee, i.e., one who is employed under conditions requiring a recurring period of employment of less than 2080 hours per year in which he or she is placed in nonpay status in accordance with pre-established conditions of employment		A01	Appointment is on a seasonal basis; the employee is subject to release to nonpay status and recall to duty to meet workload requirements as a condition of employment in accordance with the attached agreement. (see Note 3 of this table)
10	Appointment is indefinite, i.e., nonpermanent without a definite time limitation, and there is no plan (or employee is not eligible under any existing plan) for movement into the agency's permanent workforce without new examination of qualifications		E01	Appointment is indefinite.
11	Employee is currently serving in tenure group "0"	Has completed one year of current continuous employment	T11	Completed 1 year of current continuous service. (see Note 4 of this table)

Table 11-C. Remarks to be Shown on SF 50 (See Note 1 of this table) (Continued)

<i>R</i>	<i>A</i>	<i>B</i>	<i>C</i>	<i>D</i>
<i>U</i>	<i>If</i>	<i>And</i>	<i>Then Remark</i>	<i>And Remark Is</i>
<i>L</i>			<i>Code Is</i>	
<i>E</i>				
12	Action is a Provisional Appt NTE or a Conversion to Provisional Appt NTE		E58	Appointment is on a provisional basis. You are eligible for retirement coverage and for health benefits and life insurance. If your performance is satisfactory, and you meet all legal, qualifications, and other applicable requirements, you may be converted to a nontemporary appointment before this appointment expires.
13	Employee is given a time-limited appointment (NOA 171), or a time-limited appointment is extended.		M06	Reason for temporary appointment: (state reason)
14	Reserved			
15	Reserved			
16	Reserved			
17	Appointment is made under Schedule A, Sec. 213.3102(o)	This is the employee's first appointment under the authority during the service year (see Note 5 of this table)	A11	Employment under this appointment must not exceed (number) working days a year.
18	Appointment authority limits the number of days employee may work during a service year	Employee is served in your agency under another appointment under the same authority within the past year (see Note 5 of this table)	A12	Employment under this and previous appointment must not exceed (number) working days a year.
19	Appointment authority limits the number of hours employee may work during a service year	This is the employee's first appointment under this authority during the service year (see Note 5 of this table)	A07	Employment under this appointment must not exceed (number) hours a year.

Table 11-C. Remarks to be Shown on SF 50 (See Note 1 of this table) (Continued)

<i>R</i>	<i>A</i>	<i>B</i>	<i>C</i>	<i>D</i>
<i>U</i>	<i>If</i>	<i>And</i>	<i>Then Remark</i>	<i>And Remark Is</i>
<i>L</i>			<i>Code Is</i>	
<i>E</i>				
20	Appointment authority limits the number of hours employee may work during a service year	Employee has served in your agency under another appointment under this authority within the past year (see Note 5 of this table)	A08	Employment under this and previous appointment must not exceed (number) hours a year.
21	Appointment is made under Schedule A, Sec. 213.3102(e)		A22	This appointment cannot be renewed. Upon admission to the Bar, you will be eligible for appointment as attorney in accordance with (agency) appointment procedures.
22	Appointment is made under Schedule A, Sec. 213.3102(g)		A15	Total compensation during service year may not exceed 40% of salary for GS-3/1; salary increase resulting from a within grade increase will not count against this limitation.
23	Appointment is made under Schedule A, Sec. 213.3102(ii) (see Note 6 of this table)		A04	Appointment is NTE 2 years. Upon satisfactory completion of internship, you may be noncompetitively converted to career or career-conditional appointment. If your performance is not satisfactory or if you fail to satisfactorily complete this internship, employment will be terminated.
24		The employee is currently employed under a nontemporary appointment in the competitive service	A24	Employee informed in advance of the conditions of appointment under the Presidential Management Intern Program.

Table 11-C. Remarks to be Shown on SF 50 (See Note 1 of this table) (Continued)

<i>R</i>	<i>A</i>	<i>B</i>	<i>C</i>	<i>D</i>
<i>U</i>	<i>If</i>	<i>And</i>	<i>Then Remark</i>	<i>And Remark Is</i>
<i>L</i>			<i>Code Is</i>	
<i>E</i>				
25	Appointment is made under the Student Temporary Employment Program (Sch B, Sec. 213.3202(a))		A30	This appointment does not confer eligibility to be noncompetitively converted to career-conditional or career appointment.
26	Appointment is made under the Student Career Experience Program (Sch B, Sec. 213.3202(b)) (see Note 6 of this table)		A31	This appointment is intended to continue through completion of education and study-related work requirements. An agency may noncompetitively appoint you to a career or career-conditional appointment within 120 days after satisfactory completion of your educational program and satisfactory completion of at least 640 hours of career-related work experience. The work experience must have been completed prior to or concurrently with the completion of the requirements of your educational program.
27	Appointment is made under the Veterans Readjustment Authority (VRA)—5 CFR, part 307 (see Note 6 of this table)	Appointment is to a competitive service agency and <i>not</i> to an excepted service agency or organization	A03	This is appointment intended to continue for 2 years. Upon satisfactory completion of 2-year trial period, you will be noncompetitively converted to career-conditional or career appointment. If performance is not satisfactory or you fail to satisfactorily complete program, employment will be terminated.
28	Employee is already on the rolls of your agency	Will serve on two (or more) appointments at the same time	M36	Concurrent employment: (identify position or agency unit where concurrently employed)

Table 11-C. Remarks to be Shown on SF 50 (See Note 1 of this table) (Continued)

<i>R</i>	<i>A</i>	<i>B</i>	<i>C</i>	<i>D</i>
<i>U</i>	<i>If</i>	<i>And</i>	<i>Then Remark</i>	<i>And Remark Is</i>
<i>L</i>			<i>Code Is</i>	
<i>E</i>				
29	Action is a conversion to another appointment of an employee who is being retained on the agency's rolls under a temporary exception to RIF release	The retention has been documented with a 755/Exception to RIF Release action	K60	Action is in lieu of RIF separation of employee retained under temporary exception.
30	Employee is on the rolls of another agency on a part-time or intermittent appointment (see Note 7 of this table)	Will continue in that status after appointment in your agency	M34	On part-time or (intermittent) appointment in (agency).
31	Employee is on the rolls of another agency in a nonpay status (see Note 7 of this table)		M33	On nonpay status in (agency).
32	Employee is moving between executive agencies	Has reemployment rights in former agency or office	M02	You have reemployment rights for two years in (former agency) granted under Reg. 352.204 and OPM letter of (date).
33	Employee is a Special Government Employee as defined in sec. 202 of title 18, U.S. Code		E21	You are subject to regulations governing conduct and responsibilities of Special Government Employees.
34	Employee is converted from an SES appointment	Action is because of employee's less than fully successful performance in the SES position or because of employee's failure to be recertified in the SES	M58	No SES reinstatement rights.
35	Employee declined conversion to an SES appointment	Position to which employee is being assigned is an SES position	M52	Employee declined conversion to the Senior Executive Service and continues under (enter: type of appointment) with all associated rights and benefits.

Table 11-C. Remarks to be Shown on SF 50 (See Note 1 of this table) (Continued)

<i>R</i>	<i>A</i>	<i>B</i>	<i>C</i>	<i>D</i>
<i>U</i>	<i>If</i>	<i>And</i>	<i>Then Remark</i>	<i>And Remark Is</i>
<i>L</i>			<i>Code Is</i>	
<i>E</i>				
36	Employee receives Presidential appointment that requires Senate confirmation	Appointment follows an SES Career Appt without a break in service and the employee elects to continue SES pay and/or benefits	E54	Employee elects to continue appropriate SES provisions under 5 U.S.C. 3392
37	Employee was a career appointee in the SES who voluntarily requested a change to a position in the excepted service		M20	Action at employee's request.
38	Appointment is at salary rate above minimum rate of the grade		P04	Superior qualifications appointment made under Reg. 531.203(b).
39	Employee is appointed to or converted to a position for which special higher-than-usual pay rate has been established under 5 U.S.C. 5305 to recruit and retain qualified employees		P05	Special rate under 5 U.S.C. 5305.
40	Employee is appointed to or converted to a supervisory GS position in which he or she supervises higher paid employees under another pay system	Employee receives a supervisory differential	P72	Salary in block 20 includes supervisory differential of \$_____.
41	Employee's salary will be based on his or her highest previous rate of pay	Salary for current action is based on that higher rate	P01	Previously employed at (pay plan, grade, rate).
42		Agency cannot verify salary before action is effected	P03	Pay rate shown is subject to upward retroactive adjustment upon verification of prior service.

Table 11-C. Remarks to be Shown on SF 50 (See Note 1 of this table) (Continued)

<i>R</i>	<i>A</i>	<i>B</i>	<i>C</i>	<i>D</i>
<i>U</i>	<i>If</i>	<i>And</i>	<i>Then Remark</i>	<i>And Remark Is</i>
<i>L</i>			<i>Code Is</i>	
<i>E</i>				
43	Rate increase (other than a WGI) is due on effective date of action	A separate SF 50 is not being processed for the rate increase	P02	Pay rate fixed to include rate increase due on same date.
44	Employee is returning after service with the American Institute in Taiwan an international organization, military service, or absence due to compensable injury	Rate of pay includes increases he or she earned while absent	P06	Pay rate includes WGI's or other rate changes to which employee would have been entitled had he or she remained continuously in Federal service.
45		Employee was promoted or reassigned while absent	K38	Promoted (or reassigned) from (former position and grade), effective (date).
46	Employee is entitled to grade retention under 5 U.S.C. 5362		X37	Employee is entitled to retain grade of (pay plan and grade) through (date).
47			X61	Retained grade will not be used for purposes of reduction-in- force.
48			X45	Retained grade will be used to determine employee's pay, retirement and insurance benefits, and promotion and training eligibility.
49			Retained grade is equivalent to grade actually held by the employee prior to the reduction which entitled employee to grade retention	X35 (see Note 8 of this table)
50		Employee will be entitled another period of grade retention when the current period has ended	X38 (see Note 8 of this table)	On (date) employee will be entitled to retain grade of (pay plan and grade) through (date) provided the preceding period of grade retention is not terminated earlier.
51	Employee was entitled to grade retention under 5 U.S.C. 5362 on previous position	Employee has accepted a change to a lower grade position for personal cause	X36	Grade retention entitlement terminated. No further entitlement to grade or pay retention.

Table 11-C. Remarks to be Shown on SF 50 (See Note 1 of this table) (Continued)

<i>R</i>	<i>A</i>	<i>B</i>	<i>C</i>	<i>D</i>
<i>U</i>	<i>If</i>	<i>And</i>	<i>Then Remark</i>	<i>And Remark Is</i>
<i>L</i>			<i>Code Is</i>	
<i>E</i>				
52	Employee was entitled to grade retention under 5 U.S.C. 5362 on previous position	Employee has accepted a change to a lower grade position for personal cause	X49	Change to lower grade is for personal cause.
53	Employee who is moved out of SES is entitled to a retained rate of pay higher than the pay of the position in which he or she is placed		X40	Employee is entitled to pay retention.
54	Employee is entitled to pay retention under 5 U.S.C. 5363			
55		Employee's salary is 150% of the maximum rate of the grade to which assigned	X41	Salary is 150% of maximum rate of grade to which assigned.
56	Employee was entitled to pay retention under 5 U.S.C. 5363 on previous position	Employee has accepted a change to a lower grade position for personal cause	X49	Change to lower grade is for personal cause.
57			X42	Pay retention entitlement is terminated.
58	Employee has been receiving severance pay or is eligible to begin receiving severance pay from another agency.	Is given a temporary appointment.	N24	Severance pay suspended by (agency paying the full severance pay) until termination of this appointment.
59		Appointment is not described in Rule 58	N25	Severance pay discontinued. Employee has received (total number) weeks of severance pay.

Table 11-C. Remarks to be Shown on SF 50 (See Note 1 of this table) (Continued)

<i>R</i>	<i>A</i>	<i>B</i>	<i>C</i>	<i>D</i>
<i>U</i>	<i>If</i>	<i>And</i>	<i>Then Remark</i>	<i>And Remark Is</i>
<i>L</i>			<i>Code Is</i>	
<i>E</i>				
60	Employee's total salary includes a retention allowance		P70	Salary in block 20 includes retention allowance of \$_____.
61	Employee's total salary includes payment for AUO		P81	Salary in block 20 includes AUO of \$_____.
62	Reserved			
63	Employee's total salary includes availability pay		P99	Salary in block 20 includes availability pay of \$_____.
64	Employee who is reemployed under FICA, CSRS, or CSRS-Offset, is eligible to elect FERS as provided in Chapter 11 of The CSRS and FERS Handbook	Employee has been given SF 3109, FERS Election of Coverage, and receipt copy has been filed in employee's OPF	B60	Eligible to elect coverage under the Federal Employees Retirement System (FERS) within 6 months of the effective date of this personnel action. SF 3109 provided to employee.
65	Employee's retirement code will be "C," "E," "K," "L," "M," or "N"		M38	Frozen Service: (enter yrs and mos, e.g., "20 yrs, 5 mos")
66	Employee's retirement code will be "K," "L," "M," or "N"	Employee previously elected coverage under FERS	M46	Employee is covered by FERS because of previous election.
67		Rule 65 does not apply	M45	Employee is automatically covered under FERS.
68	Employee has elected to retain coverage under a retirement system for NAF employees		B63	Elected to retain coverage under a retirement system for NAF employees.

Table 11-C. Remarks to be Shown on SF 50 (See Note 1 of this table) (Continued)

<i>R</i>	<i>A</i>	<i>B</i>	<i>C</i>	<i>D</i>
<i>U</i>	<i>If</i>	<i>And</i>	<i>Then Remark</i>	<i>And Remark Is</i>
<i>L</i>			<i>Code Is</i>	
<i>E</i>				
69	Employee is eligible for life insurance coverage	Is working on a part-time schedule	B51	Basic Life insurance coverage and Additional Optional coverage (if elected) are based on the rate of annual salary payable to you as a part-time employee, not the full-time salary rate shown in block 20 of this SF 50. However, Basic Life insurance coverage is always at least \$10,000.
70	Employee is eligible for health benefits coverage	Is working on a part-time schedule of 16-32 hours per week covered by the Federal Employees Part-Time Career Employment Act of 1978	B43	Government share of premium for health benefits coverage will be reduced because you are working part-time. You will have to pay the employee share of the premium plus the difference between what the Government pays for your enrollment and the amount the Government pays for a full-time employee.
71	Employee elected health benefits coverage on last appointment	That coverage will continue	B44	Health benefits coverage continues.
72	Employee moves from the jurisdiction of one payroll office to the jurisdiction of another (whether in same agency or in another agency)	Elected not to enroll health benefits plan while in previous agency or office	B02	Elected not to enroll for health benefits.
73		Canceled enrollment while in previous agency or office	B01	Canceled health benefits.
74	Employment is on a short-term basis (i.e., employee is expected to work less than 6 months in each year) or is working on an intermittent basis		B03	Ineligible for health benefits.

Table 11-C. Remarks to be Shown on SF 50 (See Note 1 of this table) (Continued)

<i>R</i>	<i>A</i>	<i>B</i>	<i>C</i>	<i>D</i>
<i>U</i>	<i>If</i>	<i>And</i>	<i>Then Remark</i>	<i>And Remark Is</i>
<i>L</i>			<i>Code Is</i>	
<i>E</i>				
75	Action is appointment NTE or conversion to appointment NTE (NOA 171 or 571)	Is not described in Rule 74, use of remark code T11 is not applicable, and employee has not already made a health benefits enrollment decision	B52	Ineligible for health benefits until you complete 1 year of current continuous employment. Then you may elect health benefits for which you will be charged the full premium.
76	Conversion is from intermittent employment without compensation (WC)		G29	Intermittent employment totaled (number) hours in work status from (date) to (date).
77	Conversion is from intermittent employment with pay		G30	Intermittent employment totaled (number) hours in pay status from (date) to (date).
78	Reserved			
79	Employee is not eligible to earn annual or sick leave		B04	Ineligible for leave.
80	Office that provides personnel service (including OPF maintenance) is not at the same location or is not part of the same organization as the one to which the employee is assigned (e.g., employee is located in Europe and OPF is maintained in Washington, DC, or employee works for agency A and receives personnel service from agency B).		M10	OPF maintained by (name and address of office).
81	Will be reemployed annuitant		A17	As a reemployed annuitant, you serve at the will of the appointing officer.

Table 11-C. Remarks to be Shown on SF 50 (See Note 1 of this table) (Continued)

<i>R</i>	<i>A</i>	<i>B</i>	<i>C</i>	<i>D</i>
<i>U</i> <i>L</i> <i>E</i>	<i>If</i>	<i>And</i>	<i>Then Remark Code Is</i>	<i>And Remark Is</i>
82	Will be reemployed annuitant	Salary will be reduced by the amount of the annuity because neither the Office of Personnel Management nor the agency has approved a waiver under 5 CFR, part 533	P08	Annual salary to be reduced by the amount of your retirement annuity and by further cost of living increases.
83			P90	You are required to submit to the personnel office a copy of any subsequent notice from OPM of any change in your gross annuity rate. (See Note 10 of this table)
84			P10	Annuity at present is \$ pa. (See Note 11 of this table)

NOTES:

1. Use as many remarks as are applicable.
2. **Reserved.**
3. Be sure to attach to the employee copy of the SF 50 a copy of his or her employment or working agreement.
4. Tenure group in block 24 changes to "3."
5. Service year means a consecutive 12 month period beginning with date of the first appointment under a specific authority. Calendar year means the 12-month period beginning on January 1 and ending on December 31. Unless otherwise stated, appointments limited to a specific number of hours during a year refer to a "service year." Thus, if an appointment is limited to 1040 hours during a year, the year begins on date of the appointment and runs for 12 consecutive months from that date.
6. Employees are placed in Tenure Group II.
7. Send copy of appointment Standard Form 50 to employee's servicing personnel office in the other agency (reference 5 U.S.C. 5533).
8. Use this remark in addition to those required under Rules 45-48.
9. **Reserved.**
10. When the employee submits the notice of annuity adjustment, follow your agency's procedures to forward it to the payroll office.
11. To determine the annual (pa) rate, multiply by 12 the *gross monthly annuity* shown on the notice of annuity adjustment from the Office of Personnel Management.

Figure 11-1. Legal Authority Codes Used For Schedule A, B, and C Appointments

For appointments under:	Use Legal Authority Code:
Sch A, 213.3102(a)	WAM
213.3102(c)	WCM
213.3102(d)	WDM
213.3102(e)	WEM
213.3102(f)	WFM
213.3102(i)(1)	W9N
213.3102(i)(2)	W9P
213.3102(i)(3)	W9R
213.3102(j)	WJM
213.3102(k)	WKM
213.3102(l)	WLM
213.3102(n)	WNM
213.3102(o)	W6M
213.3102(r)	W9S
213.3102(s)	W9T
213.3102(t)	WTM
213.3102(u)	WUM
213.3102(x)	WXM

Figure 11-1. Legal Authority Codes Used For Schedule A, B, and C Appointments (continued)

For appointments under:	Use Legal Authority Code:
Sch A, 213.3102(z)	WZM
213.3102(aa)	XAM
213.3102(bb)	XBM
213.3102(ff)	XFM
213.3102(gg)	XGM
213.3102(ii)	X9M
213.3102(ll)	XXM
213.31xx - Agency unique Sch A authority	XZM
 Sch B, 213.3202(a) - Student Temporary Employment Program - for students pursuing:	
- High school diploma	Y1K
- Vocational/Technical certificate	Y2K
- Associate degree	Y3K
- Bachelor's degree	Y4K
- Graduate/Professional degree	Y5K

Figure 11-1. Legal Authority Codes Used For Schedule A, B, and C Appointments (continued)

For appointments under:

Use Legal Authority Code:

Sch B, 213.3202(b) - Student Career
Experience Program - for students
pursuing:

- High school diploma YBM
- Vocational/Technical certificate YGM
- Associate degree Y3M
- Bachelor's degree Y1M
- Graduate/Professional degree Y2M

Sch B, 213.3202(j) YJM

213.3202(m) YMM

213.3202(n)* YKB

213.3202(o) YCM

213.32xx. Agency-unique Schedule B authority Y5M

Sch C, 213.33xx. Agency-unique Schedule C authority Y7M

Sch C, 213.3302(a) Temp. transitional Sch C Y9K

Sch C, Authority other than Sch C, 213.33xx,
(i.e., Law or E.O. which establishes a Sch C
Position) Y8M

**Effective as of November 30, 1999, agencies may no longer make new appointments under this authority; however, prior appointees under this authority may be promoted, demoted, or reassigned within the appointing agency while remaining under this appointing authority as long as there is no break in service.*

Chapter 17. Pay and Step Changes
(Natures of Action 810, 818, 819, 866, 888, 891, 892, 893, 894, 895, and 899)

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Chapter 17. Pay and Step Changes

1. Coverage.

This chapter provides instructions for processing pay-related actions that occur when there is no change in the employee's agency, appointment status, position, or grade:

- Change in Allowance/Differential,
- Administratively Uncontrollable Overtime,
- Availability Pay,
- Locality Payment
- Pay Adjustment,
- Within-grade Increase,
- Quality Step Increase,
- Denial of Within-grade Increase,
- Step Adjustment, and
- Termination of Grade Retention.

See Chapter 31 when processing actions when an employee changes agencies; see Chapters 9-13 when appointment status changes; see Chapter 14 for position or grade changes.

2. Definitions.

a. Adjusted basic pay is that amount which, after taking into account all applicable pay caps, is the higher of the following rates of pay to which the employee is entitled: basic pay; locality pay; special law enforcement officer adjusted pay; or the continued rate of pay.

b. Administratively Uncontrollable

Overtime (AUO) pay is calculated as an increment of up to 25 percent of basic pay paid on an annual basis for substantial amounts of overtime work that cannot be controlled administratively and that are required on an irregular basis.

c. Availability pay is a special form of premium pay fixed at 25 percent of basic pay (including locality pay) that applies to criminal investigators who are required to work, or be available to work, substantial amounts of unscheduled overtime duty based on the needs of the employing agency. Criminal investigators receiving availability pay are exempt from the minimum wage and overtime pay provisions of the Fair Labor Standards Act and may not receive administratively uncontrollable overtime pay.

d. IGA continued rate of pay means a rate of pay first established in January 1994 for an employee who previously received an interim geographic adjustment (IGA) on top of a worldwide or nationwide special rate authorized under 5 U.S.C. 5305.

e. Denial of Within-grade Increase means the decision to withhold (not grant) a within-grade increase to an employee because of a determination that the employee's performance is not an acceptable level of competence.

f. GM Within-grade Increase is an agency-awarded increase in rate of basic pay, with no change in grade, to an employee who is covered under the Performance Management and Recognition System termination provisions of Public Law 103-89.

g. Grade Retention entitles an employee to retain for 2 years, for pay and benefits purposes, the grade of the position from which he or she was reduced.

h. Locality payment means a locality-based comparability payment or special pay adjustment for law enforcement officers.

(1) Locality-based comparability payment means a payment under 5 U.S.C. 5304.

(2) Special pay adjustment for law enforcement officer means an additional payment made to a law enforcement officer whose official duty station is in one of eight special pay areas defined in section 404 of the Federal Employees Pay Comparability Act of 1990.

i. Pay Adjustment (as used in this **Guide**)—Any increase or decrease in an employee's rate of basic pay where there is no change in the duties or responsibilities of the employee's position. A pay adjustment may include a change in the step at which the employee is paid. A change in the pay system under which the employee is paid is also a pay adjustment.

j. Pay plan means the pay system or pay schedule under which the employee's rate of

basic pay is determined, for example, General Schedule (GS), Executive Pay (EX), or Leader under the Federal Wage System (WL).

k. Pay retention entitlement is an employee's right to retain, under certain circumstances, a rate of basic pay that is higher than the maximum rate of the grade for the position that he or she occupies.

l. Performance Management and Recognition System (PMRS) was the pay system established under 5 U.S.C. chapter 54 for General Schedule employees in grades 13 through 15 in supervisory, managerial, or management official positions.

m. Quality (Step) Increase (QSI or QI) is an increase in an employee's rate of basic pay through an additional within-grade increase granted under 5 U.S.C. 5336 for sustained high quality performance.

n. Rate of basic pay means the rate of pay fixed by law or administrative action for the position held by the employee before any deductions (such as taxes) and exclusive of additional pay of any kind (such as overtime pay). For example, \$9793 per year; \$6.41 per hour.

o. Retention Allowance is the annual total dollar amount (up to 25 percent of basic pay) paid to an employee with unusually high qualifications or special skills in those cases where the agency determines that the employee would be likely to leave Federal employment if no allowance were paid.

p. Special Salary Rates are higher than the regular statutory schedule. The President establishes these higher pay rates for occupations in which private enterprise is paying substantially more than the regular Government schedule, and this salary gap significantly handicaps the Government's recruitment or retention of well-qualified persons.

q. Step means the step of the pay plan under which an employee is paid, for example, step 2 of GS 7 or step 1 of WG 5.

r. Step Adjustment means a change in the step of the grade at which the employee is serving, without a change in the employee's rate of basic pay.

s. Supervisory Differential the annual total dollar amount paid, over and above basic pay, to a General Schedule supervisor who otherwise would be paid less than one or more of the civilian employees supervised.

t. Within-grade Increase (WGI) is an increase in an employee's rate of basic pay by advancement from one step of his or her grade to the next after meeting requirements for length of service and performance.

3. Use of Standard Form 52.

The Standard Form 52, Request for Personnel Action, is used to request and document approval of pay or step changes for employees who are absent because of compensable injury, military duty, or service

with an international organization. For other pay and step change actions, the agency may use either a Standard Form 52 or an agency form to request actions and document approvals. For changes required by statute or regulation, and for which no approval signature is needed, no request document is needed.

4. Documenting the Personnel Action.

Usually, personnel actions for pay and step changes will use a Standard Form 50, Notification of Personnel Action. However, when an action involves large numbers of employees and requires a change in only one data item (salary), as in the case of statutory pay increase for General Schedule employees, the change may be made in agency data systems automatically. Each adjustment must be reported to the Central Personnel Data File. In addition, each salary adjustment or change must be documented in the Official Personnel Folder and the employee must be notified of the adjustment. Employees may be notified of the adjustment by a copy of the Official Personnel Folder document or an agency issuance described in Chapter 4, section 7. Either Standard Form 50 or one of these alternate forms of notice may be used for Official Personnel Folder documentation.

a. A copy of the new pay schedule containing the new rates, the authority for the change, the date of the authority and the effective date of the new rates may be used. Circle the employee's new salary and file the copy in the Official Personnel Folder on the right side.

b. A *computer-printed notice*, showing:
 Name of employee;
 Pay System, Grade, Step, and new salary;
 Effective date of new rate;
 Authority for change and date of authority; and
 Social Security Number.

5. Actions for Absent Employees.

a. Employees who are in nonpay status.

(1) Process the following actions when they are due, regardless of whether the employee is in pay or nonpay status on the effective date of the action:

- pay adjustment to effect an annual General Schedule pay adjustment, or to establish, change or terminate a locality payment;
- pay adjustment to implement, change, or discontinue a special rate;
- termination of grade retention at the expiration of the employee's 2-year period of grade retention;
- pay adjustment resulting from the termination of grade retention;
- within-grade increase for which employee became eligible before a period of nonpay status began; and
- within-grade increase for which employee becomes eligible during a period of nonpay status that is creditable for within-grade increase purposes.

(2) Wait to record other pay actions until the employee returns to duty. Show the new pay or

step on the return to duty personnel action and enter in the remarks on that action P09—"Pay or step adjusted (date) by (authority)."

b. Employees who have separated to enter on active military duty—prepare the pay adjustment or step change Standard Form 52, showing the date on which the action is due, and file it on the right side of the employee's Official Personnel Folder. Wait to prepare and distribute the Standard Form 50 until the employee exercises restoration rights, moving the Standard Form 52 to the left side of the Official Personnel Folder at that time. If the employee does not exercise restoration rights, remove and destroy the Standard Form 52.

c. Employees who have transferred to international organizations—if the employee is serving with an international organization, prepare and obtain necessary approvals on two copies of a Standard Form 52 to record the action. File one copy on the right side of the employee's Official Personnel Folder and send the second copy to the payroll office; payroll needs the salary information on the form to make the correct retirement and Federal Employees Group Life Insurance deductions for the employee while he or she serves with the international organization. Note the pay or step change on the Standard Form 52 that is used to process the reemployment action with remark P06—"Pay rate includes WGI's or other rate changes to which employee would have been entitled had he or she remained continuously in Federal service."

Job Aid

Instructions for Processing Personnel Actions on Pay and Step Changes

STEP	ACTION										
1	Use the table for the applicable pay plan to select the nature of action and authority:										
	<table border="1"> <thead> <tr> <th data-bbox="440 512 883 569">Pay Plan</th> <th data-bbox="883 512 1338 569">Table</th> </tr> </thead> <tbody> <tr> <td data-bbox="440 569 883 884">General Schedule (GS), including employees covered by the Performance Management and Recognition System termination provisions of P.L. 103-89 (meaning GM employees)</td> <td data-bbox="883 569 1338 800">Table 17-A</td> </tr> <tr> <td data-bbox="440 884 883 936">Prevailing Rate Systems</td> <td data-bbox="883 800 1338 936">Table 17-B “Reserved”</td> </tr> <tr> <td data-bbox="440 936 883 1024">Other Pay Systems</td> <td data-bbox="883 936 1338 1024">Table 17-C Table 17-D</td> </tr> </tbody> </table>	Pay Plan	Table	General Schedule (GS), including employees covered by the Performance Management and Recognition System termination provisions of P.L. 103-89 (meaning GM employees)	Table 17-A	Prevailing Rate Systems	Table 17-B “Reserved”	Other Pay Systems	Table 17-C Table 17-D		
Pay Plan	Table										
General Schedule (GS), including employees covered by the Performance Management and Recognition System termination provisions of P.L. 103-89 (meaning GM employees)	Table 17-A										
Prevailing Rate Systems	Table 17-B “Reserved”										
Other Pay Systems	Table 17-C Table 17-D										
	<p>Enter nature of action and authority in blocks 5A-F of the Standard Form 52 or in the appropriate place on the agency form used to request and approve the action.</p> <p>If the action is being taken under an authority that is unique to your department or agency, cite that authority (along with the authority code approved by the Office of Personnel Management) instead of the authority and code shown in this chapter.</p>										
2	<p>Use Table 17-F to select remarks/remarks codes required by the Office of Personnel Management for the action and enter them in Part F of the Standard Form 52 or in the appropriate place on the agency form used to request and approve the action.</p> <p>Also enter any additional remarks/remarks codes that are required by your agency's instructions or that are necessary to explain the action.</p>										
3	<p>Complete the Standard Form 52 as required by instructions in Chapter 4 of this Guide; follow your agency's procedures to complete an agency request document.</p>										
4	<p>Follow your agency's procedures to get the approval signature on the Standard Form 52 or the form your agency uses to request action. No approval is needed for a pay adjustment or a change in allowance/differential that results from a statutory or regulatory change in rates or an Executive Order.</p>										
5	<p>Follow instructions in Chapter 4 of this Guide to complete the Standard Form 50. The Standard Form 50 must be signed or authenticated for all pay and step changes except for those actions that are required by statute or regulation (and for which a Standard Form 50 or an alternate form of notice may be used). On actions for which a signature or authentication is required, follow your agency's instructions to obtain it.</p>										

Job Aid**Instructions for Processing Personnel Actions on Pay and Step Changes,
continued**

STEP	ACTION
6	Enter or update suspense or remainder dates in your service record system and in any other tickler system your agency uses. These dates include: <ul style="list-style-type: none">— date eligible for next within-grade increase,— grade retention expiration date, and— date on which next performance determination must be made (when within-grade increase has been denied).
7	Check The Guide to Personnel Recordkeeping to decide how to file the documents related to the action.
8	Reserved
9	Follow your agency's instructions to distribute documentation of the personnel action.

Table 17-A. Pay and Step Changes under the General Schedule

<i>R U L E</i>	<i>A</i>	<i>B</i>	<i>C</i>	<i>D</i>	<i>E</i>	<i>F</i>
	<i>If Basis for Action is</i>	<i>And</i>	<i>Then NOAC is</i>	<i>NOA is</i>	<i>Auth Code is</i>	<i>Authority is</i>
1	Within-grade increase based on employee's meeting length of service and performance requirements (see Note 1 of this table)	Employee is not covered by the PMRS Termination Provisions of P.L. 103-89	893	Within-grade Inc	Q7M	Reg. 531.404 (see Note 7 of this table)
2		Employee is covered by the PMRS Termination Provisions of P.L. 103-89 (see Note 6 of this table)	891	GM WGI	Z2P	P.L. 103-89
3	Decision to withhold within-grade increase	Employee is not covered by the PMRS Termination Provisions of P.L. 103-89	888	Denial of WGI (see Note 2 of this table)	Q5M	Reg. 531.409 (see Note 7 of this table)
4		Employee is covered by the PMRS Termination Provisions of P.L. 103-89			Z2P	P.L. 103-89
5	Quality increase based on employee's high quality performance		892	Quality Inc	RBM	Reg. 531.501 (see Note 7 of this table)
6	Pay adjustment effective under 5 U.S.C. 5303		894	Pay Adj	QWM and ZLM	Reg. 531.205 and (Cite E.O. that established new rates)

Table 17-A. Pay and Step Changes under the General Schedule (Continued)

<i>R U L E</i>	<i>A</i>	<i>B</i>	<i>C</i>	<i>D</i>	<i>E</i>	<i>F</i>
	<i>If Basis for Action is</i>	<i>And</i>	<i>Then NOAC is</i>	<i>NOA is</i>	<i>Auth Code is</i>	<i>Authority is</i>
7	Initial establishment of or increase in special rates schedule	Pay is adjusted on the basis of the employee's existing grade retention entitlement	894	Pay Adj	QHP and ZLM	Reg. 530.306 (a)(1) and (Cite OPM issuance that published new rates)
8		Pay is adjusted on the basis of employee's existing pay retention entitlement			QJP and ZLM	Reg. 530.306 (a)(2) and (Cite OPM issuance that published new rates)
9		Employee is not entitled to grade or pay retention			QHP and ZLM	Reg. 530.306 (a)(1) and (Cite OPM issuance that published new rates)
10	Initial establishment of, or change in, special rate for a law enforcement officer under section 403 of Public Law 101-509 (see Note 3 of this table)				ZTW	P.L. 101-509, Sec. 403
11	Decrease in or discontinuance of special rates	Employee's existing rate is equal to one of the rates in the regular or decreased special rate schedule	899	Step Adj	QKP and ZLM	Reg. 530.306 (b)(1)(i) and (Cite OPM issuance that published new rates)
12		Employee's existing rate is higher than the new maximum allowed for his or her grade level			QMP and ZLM	Reg. 530.306 (b)(1)(iii) and (Cite OPM issuance that published new rates)
13		Employee has an existing rate of pay that falls between two rates in the regular decreased rate schedule			894	Pay Adj

Table 17-A. Pay and Step Changes under the General Schedule (Continued)

<i>R U L E</i>	<i>A</i>	<i>B</i>	<i>C</i>	<i>D</i>	<i>E</i>	<i>F</i>
	<i>If Basis for Action is</i>	<i>And</i>	<i>Then NOAC is</i>	<i>NOA is</i>	<i>Auth Code is</i>	<i>Authority is</i>
14	Position that has been under the GM pay plan is determined to be under the General Schedule (see Note 4 of this table)		894	Pay Adj	QUM	Reg. 531.204(e) (see Notes 7 and 8 of this table)
15	Employee's position is brought under the General Schedule (see Note 4 of this table)				ZLM	(Cite E.O., Law, or Reg that brought position under the General Schedule) and (see Notes 7 and 8 of this table)
16	Termination of grade retention benefits because 2-year period has expired	Employee is entitled to complete another period of grade retention	866	Termination of Grade Retention	VKJ	5 U.S.C. 5362
17		Employee is entitled to a retained rate under pay retention			VRJ	5 U.S.C. 5363
18		Employee is entitled to a rate of basic pay that is equal to or higher than his or her existing rate, which rate can be accommodated within the range of the employee's grade				
19	Termination of grade retention with no further grade or pay retention entitlement	Employee declined a reasonable offer			VNJ	5 U.S.C. 5362(d)(3)
20		Employee elected to terminate benefits			VPL	5 U.S.C. 5362(d)(4)
21		Employee failed to comply with agency's priority placement program's requirements			RLM	Reg. 536.207(b)(2)

Table 17-A. Pay and Step Changes under the General Schedule (Continued)

<i>R U L E</i>	<i>A</i>	<i>B</i>	<i>C</i>	<i>D</i>	<i>E</i>	<i>F</i>
	<i>If Basis for Action is</i>	<i>And</i>	<i>Then NOAC is</i>	<i>NOA is</i>	<i>Auth Code is</i>	<i>Authority is</i>
22	Termination of pay retention because employee declined a reasonable offer		894	Pay Adj	VTJ	5 USC 5363(c)(2)
23	Termination of pay retention because of pay schedule adjustment under which employee becomes entitled to a higher rate of pay than that to which entitled under 5 U.S.C. 5363				ZLM	(Cite E.O. or other authority that established new rates)
24	Establishment, change in percentage, or termination of special pay adjustment authorized for law enforcement officers under Sec. 404 of Public Law 101-509		895	Locality Payment	ZTX	P.L. 101-509, Sec. 404
25	Establishment, change in percentage, or termination of locality-based comparability payment				VGR	5 U.S.C. 5304
26	Establishment, change in percentage, or termination of retention allowance (see Note 5 of this table)		810	Chg in Allow/Diff	VPG	5 U.S.C. 5754
27	Establishment, change in percentage, or termination of supervisory differential (see Note 5 of this table)				VPH	5 U.S.C. 5755

Table 17-A. Pay and Step Changes under the General Schedule (Continued)

<i>R U L E</i>	<i>A</i>	<i>B</i>	<i>C</i>	<i>D</i>	<i>E</i>	<i>F</i>
	<i>If Basis for Action is</i>	<i>And</i>	<i>Then NOAC is</i>	<i>NOA is</i>	<i>Auth Code is</i>	<i>Authority is</i>
28	Establishment, change in percentage, or termination of administratively uncontrollable overtime entitlement		818	AUO	RMM	Reg. 550.151
29	Establishment or termination of availability pay		819	Availability Pay	Z2S	P.L. 103-329, Sec. 633
30	An adjustment in employee's basic rate of pay that is not described in Rules 1-29		894	Pay Adj	ZLM	(Cite authority for the adjustment) (see Notes 7 and 8 of this table)

NOTES:

1. When a within-grade increase action is effective on the same date as a quality step increase or a promotion, the actions may be documented on the same SF 52/50 or on separate ones. When a single SF 52/50 is used, document the within-grade increase (NOA "893") in blocks 5A-F of the SF 52/50 and the other action in blocks 6A-F.
2. Show in "TO" block of SF 52/50 the step and salary currently held by the employee. *Do not* show the step and salary being denied or withheld. Show "00" in block 19 if employee is subject to the PMRS Termination Provisions of P.L. 103-89. Show as the effective date the date on which the increase would have been effective.
3. LEO special salary rates under section 403 of FEPCA are published in special salary rate table 491.
4. When an action involves a change in employee's position or grade, follow the instructions in Chapter 14; when it involves a change in employee's agency or appointment status, follow the instructions in Chapters 9-13.

NOTES, continued:

5. When an action grants, changes, or terminates an allowance/differential for an employee who is entitled to both the retention allowance and supervisory differential described in rules 26 and 27, only one NOA 810 SF 50 is required. The authority for each allowance/differential must be cited in blocks 5-C-through 5-F of the SF 52/50 (the agency may determine the order in which they are cited). When an action grants, changes, or terminates both the allowance/differential for an employee who is entitled to both payments described in rules 26 and 27, process one NOA 810 SF 50 and cite as the authority **ZTZ/P.L. 101-509**. (If more than one NOA 810 SF 50 is prepared with the same effective date, the actions must be combined for submission to the Central Personnel Data File.)

6. Enter "00" in block 19.

7. If employee is entitled to grade retention, a second authority may be cited: VLJ - 5 U.S.C. 5362(c).

8. If employee is entitled to pay retention, a second authority may be cited: VSJ - 5 U.S.C. 5363(a).

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Table 17-C. Pay and Step Changes Under Prevailing Rate Systems

<i>R</i>	<i>A</i>	<i>B</i>	<i>C</i>	<i>D</i>	<i>E</i>	<i>F</i>
<i>U</i> <i>L</i> <i>E</i>	<i>If Employee</i>	<i>And</i>	<i>Then NOAC is</i>	<i>NOA is</i>	<i>Auth code is (see Notes 3 and 4 of this table)</i>	<i>Auth is</i>
1	Receives a within-grade increase		893	Within-grade Inc	VUL	5 U.S.C. 5343(e)(2)
2	Occupies a position that changed from the General Schedule to a Prevailing Rate System		894	Pay Adj	FEM	Reg. 532.405(c)(2)
3	Occupies a position in a wage area that is consolidated with another wage area				FTM	Reg. 532.415(a)
4	Has basic rate of pay adjusted by application of special rates or schedules authorized by OPM for recruitment and retention				FGM	Reg. 532.251
5	Has basic rate of pay adjusted because special rates range is established for leader, supervisor or production facilitating positions				F8M	Reg. 532.253
6	Is subject to a reduction in a prevailing rate schedule resulting from the findings of a wage survey	Employee's existing rate is higher than the new maximum rate allowed for employee's grade level and employee is entitled to pay retention	899	Step Adj (see Note 2 of this table)	FNM	Reg. 532.415(c)
7		Employee's existing rate falls between two rates in the new schedule and employee's pay will be set at the higher rate	894	Pay Adj	RJR	Reg. 536.205(b)(2)

Table 17-C. Pay and Step Changes Under Prevailing Rate Systems (Continued)

<i>R U L E</i>	<i>A</i>	<i>B</i>	<i>C</i>	<i>D</i>	<i>E</i>	<i>F</i>
	<i>If Employee</i>	<i>And</i>	<i>Then NOAC is</i>	<i>NOA is</i>	<i>Auth code is (see Notes 3 and 4 of this table)</i>	<i>Auth is</i>
8	Has basic rate of pay adjusted by application of a new or revised wage schedule not covered in Rules 3-7 (e.g., to implement results of an annual wage survey)		894	Pay Adj	FNM	Reg. 532.415(c)
9	Is subject to termination of grade retention benefits because 2-year period has expired	Employee is entitled to complete another period of grade retention	866	Termination of Grade Retention	VKJ	5 U.S.C. 5362
10		Employee is entitled to a retained rate under pay retention			VRJ	5 U.S.C. 5363
11		Employee is entitled to a rate of basic pay that is equal to or higher than his or her existing rate, which rate can be accommodated within the range of the employee's grade				
12	Is subject to termination of grade retention because employee declined a reasonable offer				VNJ	5 U.S.C. 5362(d)(3)

Table 17-C. Pay and Step Changes Under Prevailing Rate Systems (Continued)

<i>R U L E</i>	<i>A</i>	<i>B</i>	<i>C</i>	<i>D</i>	<i>E</i>	<i>F</i>
	<i>If Employee</i>	<i>And</i>	<i>Then NOAC is</i>	<i>NOA is</i>	<i>Auth code is (see Notes 3 and 4 of this table)</i>	<i>Auth is</i>
13	Is subject to termination of grade retention because employee elected to terminate benefits		866	Termination of Grade Retention	VPL	5 U.S.C. 5362(d)(4)
14	Is subject to termination of grade retention benefits because employee failed to enroll in or comply with agency's priority placement program requirements				RLM	Reg. 536.207(b)(2)
15	Is subject to termination of pay retention because employee declined a reasonable offer		894	Pay Adj	VTJ	5 U.S.C. 5363(c)(2)
16	Is subject to termination of pay retention because of pay schedule adjustment under which employee becomes entitled to a higher rate of pay than that to which employee is entitled under 5 U.S.C. 5363				ZLM	(Cite E.O., Law or Reg. that sets new pay schedule)

Table 17-C. Pay and Step Changes Under Prevailing Rate Systems (Continued)

<i>R U L E</i>	<i>A</i>	<i>B</i>	<i>C</i>	<i>D</i>	<i>E</i>	<i>F</i>
	<i>If Employee</i>	<i>And</i>	<i>Then NOAC is</i>	<i>NOA is</i>	<i>Auth code is (see Notes 3 and 4 of this table)</i>	<i>Auth is</i>
17	Has rate of basic pay adjusted as a result of the termination of grade retention		894	Pay Adj	(Enter same code as was used for the 866/ Termination of Grade Retention action)	(Enter same authority as was used for the 866/ Termination of Grade Retention action)
18	Is subject to an adjustment in basic rate of pay that is not described in Rules 1-17				ZLM	(Enter E.O., Law or Reg. that adjusted pay)
19	Establishment, change in percentage, or termination of retention allowance		810	Chg in Allow/Diff	VPG	5 U.S.C. 5754

NOTES:

1. "Reserved".
2. Be sure to change the step to "00" and to change the Pay Rate Determinant (PRD).
3. If employee is entitled to grade retention, VLJ - 5 U.S.C. 5362(c) may be cited as the second authority.
4. If employee is entitled to pay retention, VSJ - 5 U.S.C. 5363(a) may be cited as the second authority.

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Table 17-D. Pay and Step Changes under Pay Systems other than the General Schedule or Prevailing Rate System

<i>R</i>	<i>A</i>	<i>B</i>	<i>C</i>	<i>D</i>	<i>E</i>	<i>F</i>
<i>U</i> <i>L</i> <i>E</i>	<i>If Basis for Action is</i>	<i>And</i>	<i>Then NOAC is</i>	<i>NOA is</i>	<i>Auth Code is</i>	<i>Authority is</i>
1	Within-grade increase		893	Within-grade Inc	ZLM	(Cite authority for the increase)
2	Pay change for an employee in a senior level (SL) or scientific or professional (ST) position	Change is the annual comparability adjustment	894	Pay Adj	ZLM	(Cite Reg. 534.504 plus the Executive Order containing rates of pay for the General Schedule and the Executive Schedule)
3		Change is not described in Rule 2				(Cite Reg. 534.503)
4		Change is not described in Rules 2-3				(Cite authority for the increase) (See Note 2 of this table)
5	Change in pay level (or rate) and salary of an SES employee				VWH	5 U.S.C. 5383

Table 17-D. Pay and Step Changes under Pay Systems other than the General Schedule or Prevailing Rate System (Continued)

<i>R</i>	<i>A</i>	<i>B</i>	<i>C</i>	<i>D</i>	<i>E</i>	<i>F</i>
<i>U</i> <i>L</i> <i>E</i>	<i>If Basis for Action is</i>	<i>And</i>	<i>Then NOAC is</i>	<i>NOA is</i>	<i>Auth Code is</i>	<i>Authority is</i>
6	General change in SES salary rates		894	Pay Adj	ZLM	(Cite E.O. that established new rates)
7	Initial establishment of or increase in special rate schedule				QHP and ZLM	Reg. 530.306(a)(1) and (Cite OPM issuance that published new rates)
8	Decrease in or discontinuance of special rates	Employee's existing rate of pay is higher than the maximum allowed for the grade or level	899	Step Adj	QMP and ZLM	Reg. 530.306(b)(1)(iii) and (Cite OPM issuance that published new rates)
9		Employee's existing rate of pay is equal to one of the rates in the new schedule for the grade or level			QKP and ZLM	Reg. 530.306(b)(1)(i) and (Cite OPM issuance that published new rates)
10		Employee's existing rate is between two rates in the regular or decreased rate schedule	894	Pay Adj	QLP and ZLM	Reg. 530.306(b)(1)(ii) and (Cite OPM issuance that published new rates)
11	Establishment or termination of availability pay		819	Availability Pay	Z2S	P.L. 103-329, Sec. 633
12	Establishment, change in percentage, or termination of locality-based comparability payment		895	Locality Payment	VGR	5 U.S.C. 5304

Table 17-D. Pay and Step Changes under Pay Systems other than the General Schedule or Prevailing Rate System (Continued)

<i>R</i>	<i>A</i>	<i>B</i>	<i>C</i>	<i>D</i>	<i>E</i>	<i>F</i>
<i>U</i>	<i>If Basis for Action is</i>	<i>And</i>	<i>Then NOAC</i>	<i>NOA is</i>	<i>Auth Code is</i>	<i>Authority is</i>
<i>L</i>			<i>is</i>			
<i>E</i>						
13	Establishment, change in, or termination of retention allowance		810	Chg in Allow/Diff	VPG	5 U.S.C. 5754
14	Establishment, change in, or termination of administratively uncontrollable overtime entitlement		818	AUO	RMM	Reg. 550.151

NOTES:

1. "Reserved".
2. For agency-determined changes, the authority for employees in senior-level (pay plan SL) and scientific and professional (pay plan ST) positions is 5 U.S.C. 5376; for employees in Agency Board of Contract Appeals positions (pay plan CA), the authority is 5 U.S.C. 5372a; and for administrative law judges (pay plan AL), the authority is 5 U.S.C. 5372. For employees in positions under other pay plans, cite the authority that established the pay plan.

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Table 17-F. Codes and Remarks for Pay and Step Changes (*Use as many remark codes as apply)

<i>R U L E</i>	<i>A</i>	<i>B</i>	<i>C</i>	<i>D</i>
	<i>If</i>	<i>And</i>	<i>Then Remark Code Is*</i>	<i>And Remark Is:</i>
1	Action is a within-grade increase (WGI)		P14	Work performance is at an acceptable level of competence.
2		The amount of time the employee was in nonpay status requires that the due date for the WGI be set back	P13	Effective date adjusted due to excess time in nonpay status of (number) hours.
3		Granted to an employee who is entitled to grade retention	X46	Action gives employee within-grade increase/quality increase to step [number] of [pay plan and grade], retained grade.
4	Action is a quality step increase	Granted to a GS employee who is entitled to grade retention	X46	Action gives employee within-grade increase/quality increase to step [number] of [pay plan and grade], retained grade.
5	Decision is made to withhold WGI to GS employee	Employee is not entitled to grade retention	P15	Within-grade increase to step [number] denied because your work is not at an acceptable level of competence. You remain at GS [number], step [number].
6		Employee is entitled to grade retention	X47	Action denies within-grade increase to step [number] of employee's retained grade.
7	Decision is made to withhold WGI to GM employee		P91	Within-grade increase denied because your work is not at an acceptable level of competence. Your salary does not change.

Table 17-F. Codes and Remarks for Pay and Step Changes (*Use as many remark codes as apply) (Continued)

R U L E	A	B	C	D
	<i>If</i>	<i>And</i>	<i>Then Remark Code Is*</i>	<i>And Remark Is</i>
8	Action is a pay adjustment	Employee is entitled to pay retention	X40	Employee is entitled to pay retention.
9		Employee is entitled to grade retention	X44	Rate is step [number] of [pay plan and grade], retained grade.
10	Employee is entitled to grade retention		X37	Employee is entitled to retain grade of [pay plan and grade] through [date].
			X45	Retained grade will be used to determine employee's pay, retirement and insurance benefits, and promotion and training eligibility.
			X61	Retained grade will not be used for reduction-in-force purposes.
11	Employee who is entitled to grade retention moves from a pay system other than GS or prevailing rate system	Retained grade is equivalent to one held prior to the reduction that entitled employee to grade retention	X35	The retained pay plan and grade [pay plan and grade] is equivalent to [pay plan and grade], the position from which reduced.
12	Action terminates employee's entitlement to grade retention	Eligibility has expired for current period, and employee not entitled to new period of grade retention	X43	Expiration of grade retention period as [pay plan and grade].
13		Employee elected to terminate grade retention entitlement	X39	Employee elected to terminate grade retention entitlement.

Table 17-F. Codes and Remarks for Pay and Step Changes (*Use as many remark codes as apply) (Continued)

<i>R U L E</i>	<i>A</i>	<i>B</i>	<i>C</i>	<i>D</i>
	<i>If</i>	<i>And</i>	<i>Then Remark Code Is*</i>	<i>An Remark Is</i>
14	Action terminates employee's entitlement to grade retention	Employee declined position offered	X48	Declined offer of [position title, pay plan, series and grade].
15		Employee didn't comply with priority placement program requirements	X50	Failed to comply with priority placement program requirements.
16		No further entitlement to grade or pay retention	X36	Grade retention entitlement terminated. No further entitlement to grade or pay retention.
17		Employee is entitled to begin pay retention	X40	Employee is entitled to pay retention.
18		Employee entitled to begin another period of grade retention	X37	Employee is entitled to retain grade of [pay plan and grade] through [date].
			X45	Retained grade will be used to determine employee's pay, retirement and insurance benefits, and promotion and training eligibility.
	X61		Retained grade will not be used for reduction-in-force purposes.	
19	Employee is entitled to pay retention	Employee's salary is now 150% of maximum rate for grade to which assigned	X41	Salary is 150% of maximum rate of grade to which assigned.
20	Action is terminating pay retention	Adjustment in pay schedule results in employee being entitled to a rate of pay equal to or higher than that to which entitled under pay retention (5 U.S.C. 5363(c)(2))	X42	Pay retention entitlement terminated.
21		Employee declined position offered	X48	Declined offer of [position title, pay plan, series and grade].

Table 17-F. Codes and Remarks for Pay and Step Changes (*Use as many remark codes as apply) (Continued)

<i>R U L E</i>	<i>A</i>	<i>B</i>	<i>C</i>	<i>D</i>
	<i>If</i>	<i>And</i>	<i>Then Remark Code Is*</i>	<i>And Remark Is</i>
22	Employee is being paid a special rate established under 5 U.S.C. 5305		P05	Special Rate under 5 U.S.C. 5305.
23	Employee's total salary includes a retention allowance		P70	Salary in block 20 includes retention allowance of \$__.
24	Employee's total salary includes payment for AUO	Action is an 818/AUO that establishes/changes percent paid for AUO	P73	Block 20 shows the percent of your rate of adjusted basic pay which is paid to you for the substantial, irregular overtime work you perform which cannot be controlled administratively.
25		Action is other than an 818/AUO	P81	Salary in block 20 includes AUO of \$__.
26	Total salary includes availability pay		P99	Salary in block 20 includes availability pay of \$__.
27	Total salary includes supervisory differential		P72	Salary in block 20 includes supervisory differential of \$__.

Table 17-F. Codes and Remarks for Pay and Step Changes (*Use as many remarks as applicable) (Continued)

<i>R U L E</i>	<i>A</i>	<i>B</i>	<i>C</i>	<i>D</i>
	<i>If</i>	<i>And</i>	<i>Then Remark Code Is*</i>	And Remark Is
28	Employee is a law enforcement officer whose total salary includes a special rate established under Sec. 403 of Public law 101-59, plus a special pay (locality) adjustment established under Sec. 404 of Public Law 101-59		P85	Amount in block 20-B includes the special pay adjustment for law enforcement officers of \$__.
29	Action is an 895/Locality Payment	Special rate exceeds the locality rate of pay	P93	Special rate exceeds the locality rate of pay, so employee receives no locality payment.
30		Special adjusted rate for law enforcement officers exceeds locality rate of pay	P95	Special adjusted rate for law enforcement officers exceeds locality rate of pay, so employee receives no locality payment.
31		IGA continued rate of pay continues until one of the terminating conditions in 5 CFR 531.703(g) is satisfied	P96	IGA continued rate of pay continues until one of the terminating conditions in 5 CFR 531.703(g) is satisfied -- i.e., the employee's duty station is no longer in an interim geographic adjustment area; the employee is no longer in a position covered by a nationwide or worldwide special salary rate; the employee is entitled to a higher rate of pay under another authority; or the employee's position is reduced in grade.
32		Rules 29-31 do not apply	P92	Salary includes a locality-based payment of __ %.
33	Action gives employee a higher rate of pay which results in termination of the IGA continued rate employee has been receiving under 5 U.S.C. 5304		P97	This action terminates your IGA continued rate of pay.