

U.S. Office of Personnel Management  
Operating Manual Update

# The Guide to Processing Personnel Actions

Update 93 – Chapter 4

## ***Notice***

This Guide and its Updates are available for viewing/printing on the [OPM.gov website](https://www.opm.gov). In lieu of contacting OPM, agency Human Resources representatives responsible for processing personnel actions should follow the instructions on the web site if interested in signing up to automatically receive Updates electronically.

**Distribution:** Operating Manual, The Guide to Processing Personnel Actions

U.S. Office of Personnel Management

**Summary of Changes, Chapter 4 (Update 93)**

Removed Pages	Identification	Insert Page	Explanation of Changes
4-1 thru 4-51	N/A	1 through 60	Chapter 4, in its entirety has been updated, to include: (1) reformatted page numbers from 4-1, 4-2, 4-3, etc., to new format of 1,2,3, etc.; (2) added a footnote to each page to reflect Chapter number and title of guide; (3) reformatted text from column to paragraph to meet 508-compliance requirements; (4) distinguished new text changes and/or additions in <b>&gt;dark red font surrounded by angled brackets&lt;</b> ; (5) distinguished deletion/removal of text with <b>*** in green font</b> ; and, (6) removed all symbols annotating historical changes throughout the chapter.

**Listing of Specific Changes to Chapter 4**

Chapter	Page Number(s)	Explanation of Changes
4	Various	<ul style="list-style-type: none"> <li>• Incorporated or updated regulatory hyperlinks throughout the chapter.</li> <li>• Updated "Standard Form" to "SF-" throughout the chapter.</li> <li>• Updated any instances of gender-specific pronouns (e.g., him, her) to gender-neutral pronouns or nouns.</li> </ul>

Chapter	Page Number(s)	Explanation of Changes
4	1	<p><b>Table of Contents</b></p> <p><b>Added language:</b> "New text changes and/or additions are distinguished in <b>&gt;dark red font surrounded by angled brackets&lt;</b>. Deletion/removal of text is distinguished with <b>*** in green font.</b>"</p>
4	2	<p><b>Section 2: SF-52: Request for Personnel Action</b></p> <p><b>Removed language:</b> "... reference to single sheet of the form that is used when the request will be hand-written or typed. The Standard Form 52-B is a continuous pin feed 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."</p> <p><b>Added language:</b> "... a paper or system generated form that is used to create a Request for Personnel Action. Pursuant to <a href="#">Title 41, Code of Federal Regulations, Part 102-194</a>, the General Services Administration (GSA) authorizes agencies to create electronic personnel forms without obtaining prior approval from GSA or the Office of Personnel Management. Electronic versions of OPM-controlled forms must use only the data element coding contained in <a href="#">The Guide to Data Standards</a>. Additionally, agencies must provide access and use of electronic information and communication technology, including forms, in accordance with <a href="#">29 U.S.C. 729d</a>, the standards issued by the <a href="#">U.S. Access Board</a>, and the guidelines available on the <a href="#">Section 508.gov website</a>."</p>

Chapter	Page Number(s)	Explanation of Changes
4	3	<p><b>Section 3: SF-50: Notification of Personnel Action</b></p> <p><b>Removed language:</b> "It is available in several versions. 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. &gt;To view the SF-50, go to <a href="http://www.opm.gov/forms/">http://www.opm.gov/forms/</a>."</p> <p><b>Added language:</b> "... a paper or system-generated version of the form."</p>
4	3-4	<p><b>Subsection 3a: Use of the SF-50</b></p> <p><b>Updated on bulleted list:</b></p> <p>Time-off awards were updated to separate group awards from individual ones and to distinguish awards authorized under Title 5, Chapter 45 and awards authorized under a different statute ("Other").</p> <p><b>Added to bulleted list:</b></p> <ul style="list-style-type: none"> <li>Individual Cash Award NRB</li> <li>Group Award-Other</li> <li>Individual Suggestion/Invention Award</li> <li>Group Suggestion/Invention Award</li> <li>Lump Sum Performance Payment RB-ILPA</li> <li>Lump Sum Performance Payment RB-NILPA</li> </ul>

Chapter	Page Number(s)	Explanation of Changes
4	4	<p><b>Subsection 3b: Additional copies of SF-50s</b></p> <p><b>Removed language:</b> "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."</p>
4	7	<p><b>Subsection 3d: Instructions</b></p> <p><b>Removed language:</b> "... go to <a href="http://www.opm.gov/forms/">http://www.opm.gov/forms/</a> to view the..."</p> <p><b>Added language:</b> "review."</p>
4	8	<p><b>Section 5: Exceptions to the SF-50 and SF-52</b></p> <p>Updated address for the Forms Officer at the U.S. Office of Personnel Management.</p>
4	12	<p><b>Subsection 7c: Summary of options</b></p> <p><b>Removed language:</b> "computer."</p> <p><b>Added language:</b> "electronic."</p>
4	16	<p>Renamed job aid.</p> <p><b>Removed title:</b> "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."</p> <p><b>Added title:</b> "Instructions for Completing SF-50 and Corresponding Parts of the SF-52."</p>
4	36	<p><b>Block 37: Bargaining Unit Status Code &gt; How to Complete</b></p> <p>Revised contact information for Bargaining Unit Status (BUS) codes to the Office of Personnel Management's Accountability and Workforce Relations Office.</p>
4	40	<p>Renamed job aid.</p> <p><b>Removed title:</b> "Instructions for Completing Parts A, B, and D of the Standard Form 52."</p> <p><b>Added title:</b> "Completing Parts of the SF-52 Not Otherwise on the SF-50."</p>

Chapter	Page Number(s)	Explanation of Changes
4	40	<p><b>Block 46: Year Degree Attained &gt; How to Complete</b></p> <p>Updated example from 1980 to 2023.</p>
4	45	<p><b>Job Aid. Sample List of Notice</b></p> <p>Updated effective date from 10-10-98 to 10-10-22. Updated signature date from 09-27-98 to 09-27-22.</p>
4	46	<p><b>Table 4-A. Setting Effective Dates</b></p> <p><b>Added language:</b> "Notes and Remarks columns have been added." Added "Reserved for Future Use" to Notes and Remarks columns.</p>
4	49	<p><b>Table 4-B: Effective Dates Set without Prior Approval of the Appointing Official</b></p> <p><b>Added language:</b> "Notes and Remarks columns have been added." Added "Reserved for Future Use" to Notes and Remarks columns.</p>
4	50	<p><b>Table 4-B, Rule 14</b></p> <p>Updated effective date from 07-23-96 to 07-23-23 and from 07-22-98 to 07-22-25.</p>
4	51	<p><b>Table 4-C. Determining the Pay Rate Determinant.</b></p> <p><b>Added language:</b> "Notes and Remarks columns have been added." Added "Reserved for Future Use" to Notes and Remarks columns.</p>
4	58	<p><b>Table 4-D. Annuitant Status</b></p> <p><b>Added language:</b> "Notes and Remarks columns have been added." Added "Reserved for Future Use" to Notes and Remarks columns.</p>

# Chapter 4: Requesting and Documenting Personnel Actions

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New text changes and/or additions are distinguished in **>dark red font surrounded by angled brackets<**. Deletion/removal of text is distinguished with **\*\*\* in green font**.

## 1. Coverage

This chapter explains how to complete the Standard Form 52 ([SF-52](#)), Request for Personnel Action, and the Standard Form 50 ([SF-50](#)), Notification of Personnel Action.

## 2. SF-52, Request for Personnel Action

The [SF-52](#) is \*\*\*>a paper or system-generated form that is used to create a Request for Personnel Action. Pursuant to [Title 41, Code of Federal Regulations, Part 102-194](#), the General Services Administration (GSA) authorizes agencies to create electronic personnel forms without obtaining prior approval from GSA or the Office of Personnel Management. Electronic versions of OPM-controlled forms must use only the data element coding contained in [The Guide to Data Standards](#). Additionally, agencies must provide access and use of electronic information and communication technology, including forms, in accordance with [29 U.S.C. 729d](#), the standards issued by the [U.S. Access Board](#), and the guidelines available on the [Section 508.gov website](#).<

### 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.
- 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 [SF-52](#).



## **b. How to complete the [SF-52](#)**

Follow the instructions in [Job Aid. Completing the SF-50 and Corresponding Parts of the SF-52](#) when completing most of the [SF-52](#). Also use [Job Aid. Completing Parts of the SF-52 Not Otherwise on the SF-50](#) for completing those parts of the [SF-52](#) which contain data that is not recorded on the [SF-50](#).

## **3. [SF-50](#), Notification of Personnel Action**

The [SF-50](#) is used to document employment events. \*\*\* As used in this **Guide**, "[SF-50](#)" means \*\*\*>a paper or system-generated< version of the form. \*\*\*

### **a. Use of the [SF-50](#)**

An [SF-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 Incentive
- Relocation Incentive
- Retention Incentive
- Referral Bonus
- Student Loan Repayment
- Individual\*\*\*Time Off Award>-Other<
- >Individual Time Off Award>-Ch 45<
- >Group Time Off Award-Other<
- >Group Time Off Award-Ch 45<
- Individual Cash Award \*\*\*RB\*\*\*
- >Individual Cash Award NRB<
- Group Award-Ch 45\*\*\*
- >Group Award -Other<
- >Individual Suggestion/Invention Award<
- >Group Suggestion/Invention Award<
- Foreign Language Award
- Travel Savings Incentive
- Senior Executive Service Performance Award
- >Lump Sum Performance Payment RB-ILPA<
- >Lump Sum Performance Payment RB-NILPA<

- >Lump Sum Performance Payment NRB<

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) An [SF-50](#)
- (2) An exception to the [SF-50](#) approved by the Office of Personnel Management ([see section 5](#)) >of this chapter<
- (3) A list form of notice ([see section 6](#)) >of this chapter<
- (4) One of the alternative forms of notice described for pay adjustments in [Chapter 17](#) >of this Guide<.

#### **b. Additional copies of [SF-50s](#)**

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 \*\*\*>[SF-50](#)<" to notify an agency that you have hired one of its employees or to comply with the requirements in Figure 3-4. \*\*\*

### **4. Completing the [SF-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 \*\*\*>appointee< may elect to use \*\*\*>their< maiden name as \*\*\*>their< last name provided that \*\*\*>they< use 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
- No Last Name, Taylor NMN
- Taylor, No First Name NMN

When a personnel document asks for a middle name or initial, and the employee has no middle name or initial, enter "NMN." Do not use abbreviations when entering "no first name" or "no last name" on a personnel document. If an employee has a single name, when necessary, ask the employee whether to record it either as the first name or the last name. Refer to the preceding paragraph for examples of the manner in which a single name is recorded (i.e., see examples for "Taylor"). 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 [SF- 50](#), or in Part C-2 of the [SF-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, actions to terminate grade and pay retention, and Opt

Out Phased Employment/Retirement actions 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, [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 [SF-52](#) or blocks 50 and 49 of the [SF-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 clearly define 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 **\*\*\*>they approve<** meets all legal and regulatory requirements. **\*\*\*>The appointing officer<** is responsible for approving determinations made by recruiters, staffing specialists, personnel assistants, and other personnel office staff regarding the 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 \*\*\* 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 >of this chapter<](#) 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 >of this chapter<](#) to prepare it.
- (2) When the action is documented on an [SF-50](#), \*\*\*>review< the [SF-50](#) and identify the blocks on the form. Follow the instructions in [Job Aid. Completing the SF-50 and Corresponding Parts of the SF-52](#), to complete the form. Explanations and definitions of codes used in the job aid are found in [The Guide to 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 [SF-50](#), only the codes published in [The Guide to 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 >of this Guide<](#). An agency *may not* "x" out or use pencil, pen-and-ink, "white-out," or erasures to correct [SF-50](#) data that is required by or reported to the Office of Personnel Management. Pen-and-ink corrections may be made only to correct [SF-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 SF-50 and SF-52

[Title 41, Code of Federal Regulations, Part 102-194, "Standard and Optional Forms Management Program"](#) requires agencies to obtain approval before using any forms other than the [SF-52](#) to request and approve actions and any forms other than the [SF-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:\*\*\*

>Forms Officer  
Office of Privacy and Information Management  
U.S. Office of Personnel Management  
1900 E Street, N.W., Room 5H27 F  
Washington, DC 20415-6000<

Requests for exception should not be sent directly to the General Services Administration. Additions to or deletions of data from the current [SF-52](#) or [SF-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 [SF-50](#) and the [SF-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)  
Note: only when separation is due to mass transfer
- (3) **Changes.** The following actions may be documented by listings only when the conditions in section 6a (above) are present:
  - 280/Placement in Pay Status  
Note: only for seasonal employees when the work season begins
  - 430/Placement in Nonpay Status  
Note: 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
  - 781/Chg in Work Schedule
  - 790/Realignment
  - 792/Chg in Duty Station
  - 800/Chg in Data Element
  - 883/Chg in Vet Pref-RIF

**c. Format**

Prepare lists on white, letter-size paper, following the instructions in [Job Aid. 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 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 **\*\*\*>the<** 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. [SF-50](#)**

The [SF-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 >of this chapter<](#)).



## **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 effectuated. 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 [SF-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 [SF-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:

- [SF-50](#)
- List form of notice, if the action is one of those identified in section 6 >of this chapter<
- A pay schedule or \*\*\*>electronic< printout as described in [Chapter 17](#) >of this Guide<, if the action is a pay adjustment affecting a large number of employees
- An agency issuance that meets the conditions in b, above (>"Agency Issuances"<).

## 8. Data Collected on Ethnicity and Race and Identification of Disability

### a. Need for data

Data on ethnicity and race and disability 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 [SF-50](#). The information is never entered on the [SF-50](#) or the [SF-52](#).

### b. Storing data

Keep ethnicity and race and disability 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 Enterprise Human Resources Integration. ***Destroy ethnicity and race identification 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 ethnicity and race data may be maintained. Forms used to collect identification of disability

may be filed in the Employee Medical Folder. **NEVER** file forms identifying ethnicity and race or disability in an Official Personnel Folder, and **NEVER** file in an Official Personnel Folder any document on which employee's ethnicity and race or disability appear.

## **Job Aids**

### **SF-52, Request for Personnel Action**

To view form, go to <https://www.opm.gov/forms/standard-forms/>

### **SF-50, Notification of Personnel Action**

To view form, go to <https://www.opm.gov/forms/standard-forms/>

### 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.

>Topic<	>Decision Number<
Prior approval for appointment	18CG907 ( <a href="#">B-3691</a> ) and 20CG267 ( <a href="#">B-13405</a> )
Oath of office to be taken before an employee can be paid	21CG817 ( <a href="#">B-23607</a> )
Holiday pay when conversion action is involved	30CG344 ( <a href="#">B-100674</a> )
Move to another agency	34CG428 ( <a href="#">B-122860</a> )
Transfers where travel and transportation expenses are concerned	26CG862 ( <a href="#">B-65146</a> )
Relation of effective date to entry on duty date	24CG150 ( <a href="#">B-43828</a> ) and 45CG660 ( <a href="#">B-158844</a> )
Promotion that follows a detail	24CG563 ( <a href="#">B-47029</a> )
Salary change resulting from allocation or reallocation of a position	30CG156 ( <a href="#">B-97803</a> )
Prior approval for promotion	3CG559 (no A or B number applicable) and 9CG20 ( <a href="#">A-27284</a> )
Compensation for services rendered prior to appointment	8CG582 ( <a href="#">A-26950</a> ) and 20CG267 ( <a href="#">B-13405</a> )
Compensation for service during an interval between appointments	17CG323 ( <a href="#">A-88946</a> )

**Job Aid. \*\*\*>Completing the [SF-50](#) and Corresponding Parts of the [SF-52](#)<**

**Purpose:** When the personnel action is documented on an [SF-50](#), use this job aid to complete the form. Explanations and definitions of codes used in this job aid are found in [The Guide to Data Standards](#). This job aid also provides guidance for completing >data fields< of the [SF-52](#) >that are also found on the [SF-50](#).<

With the exception of a Presidential 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](#).

<b>Block #</b>	<b>Title</b>	<b>When to Complete</b>	<b>How to Complete</b>
1	Name	Complete on all actions.	<ol style="list-style-type: none"> <li>1. When a requesting office has entered the employee's name, check it against the Official Personnel Folder, application/resume, or the <a href="#">SF-75, Request for Preliminary Employment Data</a>, to be sure it has been entered correctly.</li> <li>2. 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.</li> <li>3. 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.</li> </ol>

Block #	Title	When to Complete	How to Complete
2	Social Security Number	Complete on all actions.	<p>1. 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 <a href="#">SF-75, Request for Preliminary Employment Data</a>, to be sure it has been entered correctly. When a requesting office has not entered the employee's SSN, enter the SSN shown on the employee's application/resume or Official Personnel Folder.</p> <p>2. A social security number is required for:</p> <ul style="list-style-type: none"> <li>a. United States citizens</li> <li>b. Foreign nationals serving in the 50 States, the District of Columbia, and in the areas listed below: <ul style="list-style-type: none"> <li>• 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)</li> <li>• Canton and Enderbury Islands</li> <li>• Commonwealth of Puerto Rico</li> <li>• Guam</li> <li>• Howland, Baker, and Jarvis Islands</li> <li>• Johnston or Cornwallis Island, and Sand Island</li> <li>• Kingman Reef</li> <li>• Swan Islands</li> <li>• Virgin Islands of the United States</li> <li>• Wake Island</li> <li>• Midway Islands</li> <li>• Navassa Island</li> <li>• Palmyra Island</li> <li>• 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</li> <li>• Any other islands to which the United States Government reserves claim, such as Christmas Island</li> </ul> </li> </ul> <p>3. Enter the employee number established by your agency for foreign nationals serving outside the areas listed in <b>&gt;#2b, above.&lt;</b> 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 style="text-align: right;"><i>Continued on next page</i></p>

Block #	Title	When to Complete	How to Complete
2 (cont.)	Social Security Number	Complete on all actions.	<p>3. <b>When employee does not have a social security number.</b> If a valid number is not available, create a pseudo-number in the following way: enter a 9, followed by the 4-digit Personnel Office Identifier number assigned by the Office of Personnel Management; then assign the four sequential digits, the following controls must be maintained.</p> <p>a. <b>Uniqueness.</b> 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>b. <b>Correction.</b> 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 Enterprise Human Resources Integration [EHRI]), a correction is required. Follow the instructions in <a href="#">The Guide to Human Resources Reporting Requirements</a> for preparing corrections for EHRI. Note that for EHRI, a complete correction action is required for each action processed with the pseudo-number.</p> <p>4. <b>Multiple Appointments.</b> 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>5. <b>To obtain a valid Social Security Number,</b> 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>6. <b>Corrections.</b> See <a href="#">Chapter 32</a> &gt;of this Guide&lt; for instructions.</p>



<b>Block #</b>	<b>Title</b>	<b>When to Complete</b>	<b>How to Complete</b>
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 <a href="#">SF-75, Request for Preliminary Employment Data</a> , 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: <ul style="list-style-type: none"> <li>• 350/Death</li> <li>• 354/Death in the Line of Duty</li> <li>• 355/Termination-Exp of Appt</li> <li>• 002/Correction</li> </ul>	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.

<b>Block #</b>	<b>Title</b>	<b>When to Complete</b>	<b>How to Complete</b>
6-A	Code	Complete when a second action, with the same effective date, is processed on the same <a href="#">SF-50</a> .	Enter the code required by the chapter that explains how to process the action.  When the <a href="#">SF-50</a> 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 <a href="#">SF-50</a> and both are being corrected or canceled, process a separate <a href="#">SF-50</a> to cancel or correct each one.
6-B	Nature of Action		
6-C	Code	<ol style="list-style-type: none"> <li>1. Leave blank when code &amp; nature of action shown in blocks 6-A and 6-B are: <ul style="list-style-type: none"> <li>• 350/Death</li> <li>• 355/Termination-Exp of Appt</li> <li>• 354/Death in the Line of Duty</li> </ul> </li> <li>2. Leave blank when code and nature of action shown in blocks 5-A and 5-B are 001/Cancellation.</li> <li>3. Complete on all other actions when blocks 6-A &amp; 6-B are completed.</li> </ol>	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.

Block #	Title	When to Complete	How to Complete
7	From: Position Title and Number	1. Leave blank on actions that grant presidential rank awards (NOAC 878).	Enter position title and number shown in "To" portion of employee's last Notification of Personnel Action.
8	Pay Plan	2. Complete on:	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	<ul style="list-style-type: none"> <li>• Separations</li> <li>• Actions that place employee in nonpay status</li> <li>• Any other action that moves the employee to another position</li> </ul>	
10	Grade or Level	3. Completion is optional on other actions; follow your agency's instructions.	<p>Enter grade or level shown in the "To" portion of employee's last Notification of Personnel Action:</p> <ol style="list-style-type: none"> <li>1. Enter "00" if employee is in the Senior Executive Service (SES).</li> <li>2. If employee is in the Competitive or Excepted Service, enter the grade or level of the position, for example "09" or "12." If the position has no grade or level, enter two zeros ("00").</li> <li>3. Enter the target grade for employees under the pay plan WT (Federal Apprentices and Shop Trainees).</li> <li>4. For employees who are already entitled to grade retention under <a href="#">5 U.S.C. 5362</a>, enter grade of the position they actually occupy, not the grade they are retaining for pay and benefit purposes.</li> </ol>

Block #	Title	When to Complete	How to Complete
11	Step or Rate	<ol style="list-style-type: none"> <li>1. Leave blank on actions that grant presidential rank awards (NOAC 878).</li> <li>2. Complete on:                             <ul style="list-style-type: none"> <li>• Separations</li> <li>• Actions that place employee in nonpay status</li> <li>• Any other action that moves employee to a different grade, step, or rate</li> </ul> </li> <li>3. Completion is optional for other actions; follow your agency's instructions.</li> </ol>	<p>Enter step or rate for employee's current salary:</p> <ol style="list-style-type: none"> <li>1. Enter "00" for:                             <ul style="list-style-type: none"> <li>• Employees in pay plan "GM"</li> <li>• 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</li> <li>• SES members</li> <li>• Presidential appointees and appointees described in <a href="#">5 CFR 317.801(a)(2)</a> who elect to retain SES provisions</li> </ul> </li> <li>2. When grade or pay retention is 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").</li> </ol>

Block #	Title	When to Complete	How to Complete
12	Total Salary	<ol style="list-style-type: none"> <li>1. Leave blank on actions that grant presidential rank awards (NOAC 878).</li> <li>2. Complete on:                             <ul style="list-style-type: none"> <li>• Separations</li> <li>• Actions that place employee in nonpay status</li> <li>• Any other action that moves employee to a different salary</li> <li>• Any action that changes or terminates administratively uncontrollable overtime (NOAC 818)</li> <li>• Any action that terminates availability pay (NOAC 819)</li> </ul> </li> </ol> <p>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, or supervisory differential after considering any applicable pay caps. The total salary must be compatible with the pay basis for the pay plan under which the employee is paid. Except as described in #1 below, this is the pay basis for the pay plan in block 8.</p> <ol style="list-style-type: none"> <li>1. 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.</li> <li>2. If employment is without pay, enter six zeros ("000000").</li> <li>3. 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%."</li> <li>4. On actions that terminate availability pay, enter dollar amount employee has been receiving.</li> </ol>

Block #	Title	When to Complete	How to Complete
12A	Basic Pay	1. Leave blank on: <ul style="list-style-type: none"> <li>• Actions that grant administratively uncontrollable overtime pay (NOAC 818) or availability pay (NOAC 819)</li> <li>• Presidential rank awards (NOAC 878)</li> </ul>	Enter the employee's rate of basic pay. For example, under the General Schedule pay system, enter a General Schedule base rate, a law enforcement officer special base rate, or a retained rate. Exclude allowances, adjustments, and differentials.
12B	Locality Adjustment		Enter the difference between the adjusted basic pay (block 12C) and basic pay (block 12A). This difference represents the value of an employee's locality payment, special rate supplement, or equivalent payment. If an employee is not entitled to any such payment leave blank. For example, an employee receiving a retained rate under the General Schedule pay system is not entitled to either a special rate supplement or a locality payment.
12C	Adjusted Basic Pay	2. Complete on: <ul style="list-style-type: none"> <li>• Separations</li> <li>• Actions that place employee in nonpay status</li> </ul>	Enter the maximum adjusted rate of basic pay, including any locality payment, special rate supplement, or equivalent payment, after considering all pay caps that may be applicable.
12D	Other Pay	<ul style="list-style-type: none"> <li>• Any other action that changes employee's salary</li> <li>• Any action that changes administratively uncontrollable overtime pay (NOAC 818) or availability pay (NOAC 819)</li> </ul> 3. Completion is optional for other actions; follow your agency's instructions.	1. Enter the difference between total salary (block 12) and adjusted basic pay (block 12C). 2. Leave blank if employee is not entitled to administratively uncontrollable overtime pay, availability pay, or supervisory differential. 3. Explain any other allowances/differentials to which employee is entitled (e.g., uniform allowance or shift differential) in remarks. 4. All other allowances/differentials are excluded from the amounts shown in blocks 12 or 12D.

Block #	Title	When to Complete	How to Complete
13	Pay Basis	1. Leave blank on: <ul style="list-style-type: none"> <li>• Actions that grant administratively uncontrollable overtime pay (NOAC 818)</li> <li>• Presidential rank awards (NOAC 878)</li> </ul> 2. Complete on all other actions for which block 12 is completed.	Enter appropriate code for basis on which employee is currently being paid. Use <a href="#">The Guide to Data Standards</a> 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.
14	Name and Location of Position's Organization	1. Leave blank on: <ul style="list-style-type: none"> <li>• Actions that grant administratively uncontrollable overtime pay (NOAC 818)</li> <li>• Presidential rank awards (NOAC 878)</li> </ul> 2. Complete on: <ul style="list-style-type: none"> <li>• Separations</li> <li>• Actions that place employee in nonpay status</li> <li>• Any other action that moves employee to a different office</li> </ul> 3. Completion is optional on other actions; follow your agency's instructions.	1. Enter the name and location shown in "To" portion of employee's last Notification of Personnel Action.  2. On appointment actions that move an employee from another agency, enter the agency code for the losing agency. When action is a reemployment under <a href="#">Public Law 85-795</a> , enter "PI00."

<b>Block #</b>	<b>Title</b>	<b>When to Complete</b>	<b>How to Complete</b>
15	To: Position Title and Number	1. Leave blank on: <ul style="list-style-type: none"> <li>• Actions that place employee in nonpay status</li> <li>• Separations</li> <li>• Separation incentives (NOAC 825)</li> </ul> 2. Complete on all other actions.	Enter position title and number shown on the position description. When action grants or continues entitlement to grade retention under <a href="#">5 U.S.C. 5362</a> , 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.



Block #	Title	When to Complete	How to Complete
16	Pay Plan	1. Leave blank on: <ul style="list-style-type: none"> <li>• Presidential rank awards (NOAC 878)</li> <li>• Separation incentives (NOAC 825)</li> <li>• Separations</li> <li>• Actions that place employee in nonpay status</li> </ul> 2. Complete on all other actions.	1. Enter the pay plan and occupational code shown on the position description. 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. 2. 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. 3. 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."
17	Occupational Code		1. Enter "00" if employee is in the Senior Executive Service. 2. 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"). 3. Enter the target grade for employees under the pay plan WT (Federal Apprentices and Shop Trainees). 4. For employees who are entitled to grade retention under <a href="#">5 U.S.C. 5362</a> , show grade of the position employee actually occupies, <i>not</i> the grade *** >they are< retaining for pay and benefits purposes.
18	Grade or Level		Enter code for step or rate at which employee will be paid. 1. Enter "00" for: <ul style="list-style-type: none"> <li>• Employees in pay plan "GM"</li> <li>• 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</li> <li>• Employees whose pay plans have no steps (for example, ST, SL, and SES)</li> <li>• Presidential appointees and appointees described in <a href="#">5 CFR 317.801(a)(2)</a> who elect to retain SES provisions</li> </ul> 2. When grade retention is terminated, enter the appropriate step or rate of the grade of the position the employee occupies. 3. When grade retention is 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").
19	Step or Rate		

Block #	Title	When to Complete	How to Complete
20	Total Salary/Award	Complete on all actions except separations and actions that place employee in nonpay status.	<ol style="list-style-type: none"> <li>1. 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%."</li> <li>2. For an 819/Availability Pay action that <b>grants</b> availability pay, enter the dollar amount of availability pay. For an 819/Availability Pay action that <b>terminates</b> availability pay, enter "0."</li> <li>3. For actions other than administratively uncontrollable overtime pay, presidential rank awards, or separation incentives, enter the amount of adjusted basic pay plus any AUO, availability pay, or supervisory differential after considering 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 <b>d.</b> 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.</li> <li>4. When employee is entitled to begin or continue a period of grade retention under <a href="#">5 U.S.C. 5362</a>, 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.</li> <li>5. When employee is not entitled to begin or continue a period of grade retention, follow completion instructions for block 12.</li> <li>6. If action is a separation incentive, enter the dollar amount of the separation incentive.</li> <li>7. If action is a presidential rank award, enter the dollar amount of the award.</li> </ol>

<b>Block #</b>	<b>Title</b>	<b>When to Complete</b>	<b>How to Complete</b>
20A	Basic Pay	1. Leave blank on: <ul style="list-style-type: none"> <li>• Actions that document administratively uncontrollable overtime pay (NOAC 818) or availability pay (NOAC 819)</li> <li>• Separation incentives (NOAC 825)</li> <li>• Separations</li> <li>• Actions that place employee in nonpay status</li> </ul>	Enter the employee's rate of basic pay. For example, under the General Schedule pay system, enter a General Schedule base rate, a law enforcement officer special base rate, or a retained rate. Exclude allowances, adjustments, and differentials.
20B	Locality Adjustment		Enter the difference between the adjusted basic pay (block 20C) and basic pay (block 20A.) This difference represents the value of an employee's locality payment, special rate supplement, or equivalent payment. If an employee is not entitled to any such payment leave blank. For example, an employee receiving a retained rate under the General Schedule pay system is not entitled to either a special rate supplement or a locality payment.
20C	Adjusted Basic Pay		Enter the maximum adjusted rate of basic pay, including any locality payment, special rate supplement, or equivalent payment, after considering all pay caps that may be applicable.
20D	Other Pay	2. Complete on any action that changes employee's salary.  3. Completion is optional for other actions; follow your agency's instructions.	1. Enter the difference between total salary (block 20) and adjusted basic pay (block 20C).  2. Leave blank if employee is not entitled to administratively uncontrollable overtime pay, availability pay, or supervisory differential.  3. Explain any other allowances/ differentials to which employee is entitled (for example, uniform allowance or shift differential) in remarks.  4. All other allowances/differentials are excluded from the amounts shown in blocks 20 or 20D.

Block #	Title	When to Complete	How to Complete
21	Pay Basis	<p>1. Leave blank on:</p> <ul style="list-style-type: none"> <li>• Actions that document administratively uncontrollable overtime pay (NOAC 818)</li> <li>• Presidential rank awards (NOAC 878)</li> <li>• Separation incentives (NOAC 825)</li> </ul> <p>2. Complete on all other actions for which block 20 is completed.</p>	<p>Enter code for basis on which employee is to be paid. Use <a href="#">The Guide to Data Standards</a> to select appropriate code.</p> <p>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.</p>
22	Name and Location of Position's Organization	<p>1. Leave blank on:</p> <ul style="list-style-type: none"> <li>• Actions that place employee in nonpay status</li> <li>• Separations that are not immediately followed by appointment in another agency or in a public international organization</li> <li>• Separation incentives (NOAC 825)</li> </ul> <p>2. 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> <ol style="list-style-type: none"> <li>1. Enter organization name as it is shown on the position description.</li> <li>2. In separation actions for movement to a different agency, enter the agency code for the gaining agency.</li> <li>3. For separations to accept employment with a public international organization from which employee will have reemployment rights, enter "PI00."</li> </ol>

Block #	Title	When to Complete	How to Complete
23	Veterans' Preference	1. Complete on: <ul style="list-style-type: none"> <li>• Appointments</li> <li>• Conversions to appointments, Actions that change veterans' preference (NOAC 883)</li> <li>• Separations</li> </ul> 2. Completion is optional on other actions; follow your agency's instructions.	Enter the appropriate code based on preference for appointment, adverse action, reduction in force, or performance-based action purposes. Use <a href="#">The Guide to Data Standards</a> to select the appropriate code. When code 7 is cited, remark E59 is required.
24	Tenure	1. Completion is optional on pay change actions; follow your agency's instructions.  2. Complete on all other actions.	Enter appropriate tenure group. (Do not show subgroup.) If employee is not in one of the tenure groups defined in <a href="#">The Guide to Data Standards</a> , 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.
25	Agency Use	Complete when required by your agency.	Follow your agency's instructions.
26	Veterans' Preference for Reduction in Force	Complete on all actions for which block 23 is completed.	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.)

<b>Block #</b>	<b>Title</b>	<b>When to Complete</b>	<b>How to Complete</b>
27	Group Life Insurance	1. Complete on: <ul style="list-style-type: none"> <li>• Appointments</li> <li>• Conversions to appointments</li> <li>• Placements in nonpay status</li> <li>• Return-to-duty actions</li> <li>• 881/FEGLI Chg actions</li> <li>• Separations</li> <li>• All actions for which block 12 or 20 shows salary</li> </ul> 2. Completion is optional on other actions; follow your agency's instructions.	Enter appropriate code and definition (for example, "C0-Basic only"). Codes and definitions are listed in <a href="#">The Guide to Data Standards</a> .
28	Annuitant Indicator	1. Complete on: <ul style="list-style-type: none"> <li>• Appointments</li> <li>• Conversions to appointments</li> <li>• Separations</li> <li>• Any action that results in a change in the code shown in this block</li> </ul> 2. Completion is optional on other actions; follow your agency's instructions.	Enter appropriate code and title; follow descriptions in <a href="#">Table 4-D</a> or <a href="#">The Guide to Data Standards</a> to select the code.

Block #	Title	When to Complete	How to Complete
29	Pay Rate Determinant	<ol style="list-style-type: none"> <li>1. Complete on all actions on which block 20 shows salary.</li> <li>2. Leave blank on:                             <ul style="list-style-type: none"> <li>• Actions that document administratively uncontrollable overtime pay (NOAC 818)</li> <li>• Presidential rank awards (NOAC 878)</li> <li>• Senior Career Employee rank awards</li> <li>• Separation incentives (NOAC 825)</li> </ul> </li> </ol>	<p>Use Table 4-C or <a href="#">The Guide to Data Standards</a> to select the code that best describes any special factors used in determining employee's rate of basic pay.</p>
30	Retirement Plan	<ol style="list-style-type: none"> <li>1. Complete on:                             <ul style="list-style-type: none"> <li>• Appointments</li> <li>• Conversions to appointments</li> <li>• Separations</li> <li>• Any action that results in a change in the code shown in that block</li> </ul> </li> <li>2. Completion is optional on other actions; follow your agency's instructions.</li> </ol>	<ol style="list-style-type: none"> <li>1. Use <a href="#">The CSRS and FERS Handbook for Personnel and Payroll Offices</a> 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.</li> <li>2. Use <a href="#">The Guide to Data Standards</a> to select the appropriate code and definition.</li> </ol>

Block #	Title	When to Complete	How to Complete
31	Service Computation Date (Leave)	1. Complete on: <ul style="list-style-type: none"> <li>• Appointments</li> <li>• Conversions to appointments</li> <li>• Separations</li> <li>• Any actions that result in a change to the service computation date for leave accrual</li> </ul> 2. Completion on other actions is optional; follow your agency's instructions.	Enter month-day-year, for example, "05-18-81" or "05-18-1981." (See <a href="#">Chapter 6</a> for instructions in computing the service computation date for leave accrual.)
32	Work Schedule	1. Complete on: <ul style="list-style-type: none"> <li>• Appointments</li> <li>• Conversions to appointments</li> <li>• Separations</li> <li>• Pay change actions</li> <li>• Actions that move employee into and out of pay status</li> <li>• 781/Chg in Work Schedule actions</li> <li>• 615/Phased Employment/Phased Retirement</li> <li>• 616/Opt out Phased Employment/Retirement</li> </ul> 2. Completion on other actions is optional; follow your agency's instructions.	Use <a href="#">The Guide to Data Standards</a> to enter appropriate code and definition.



<b>Block #</b>	<b>Title</b>	<b>When to Complete</b>	<b>How to Complete</b>
33	Part-Time Hours per Biweekly Pay Period	<ol style="list-style-type: none"> <li>1. Complete when block 32 shows work schedule is part-time.</li> <li>2. Leave blank on all other actions.</li> </ol>	Self-explanatory.
34	Position Occupied	<ol style="list-style-type: none"> <li>1. Complete on:                             <ul style="list-style-type: none"> <li>• Appointments</li> <li>• Conversions to appointments</li> <li>• Separations</li> <li>• 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</li> </ul> </li> <li>2. Completion is optional on other actions; follow your agency's instructions.</li> </ol>	Use <a href="#">The Guide to Data Standards</a> to enter appropriate code.

Block #	Title	When to Complete	How to Complete
35	Fair Labor Standards Act Category (FLSA)	1. Complete on: <ul style="list-style-type: none"> <li>• Appointments</li> <li>• Conversions to appointments</li> <li>• Separations</li> <li>• Any action that moves employee to another position or results in a change in the code shown in that block</li> </ul> 2. Completion is optional on other actions; follow your agency's instructions.	Use <a href="#">The Guide to Data Standards</a> to enter appropriate code.
36	Appropriation Code	Complete when required by your agency.	Follow your agency's instructions.
37	Bargaining Unit Status	1. Must be completed on: <ul style="list-style-type: none"> <li>• Appointments</li> <li>• Conversions to appointments</li> <li>• Separations</li> <li>• Any action that moves employee to a different position or results in a change to the employee's Bargaining Unit Status</li> </ul> 2. Completion is optional on other actions.	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.) <ol style="list-style-type: none"> <li>1. When employee is eligible for and represented in a bargaining unit, enter the four digits of the Bargaining Unit Status (BUS) code which is available at <a href="https://www.opm.gov/flis/#/profiles">https://www.opm.gov/flis/#/profiles</a> If the unit is not listed, contact the Office of Personnel Management's *** &gt;Accountability and &lt;Workforce Relations *** &gt;office&lt; to obtain the assigned number.</li> <li>2. 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.</li> <li>3. When employee is ineligible for inclusion in a bargaining unit, enter "8888."</li> <li>4. Consult with the agency or installation labor relations officer for further assistance.</li> </ol>

Block #	Title	When to Complete	How to Complete
38	Duty Station Code	1. Complete on: <ul style="list-style-type: none"> <li>• Appointments</li> <li>• Conversions to appointments</li> <li>• Separations</li> <li>• Any action that moves employee to a new duty station</li> </ul> 2. Completion is optional on other actions.	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 at <a href="https://dw.opm.gov/datastandards/dutystation/main.jsp">https://dw.opm.gov/datastandards/dutystation/main.jsp</a>  When an employee's official duty station is not in a city, enter "0000" for the city portion of the nine-digit code.  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.
39	Duty Station		Enter location of employee's official duty station: <ol style="list-style-type: none"> <li>1. When employee's official duty station is in the United States, enter "city-county-State" or "city-State," as appropriate.</li> <li>2. When duty station is in a foreign country, enter city and country.</li> </ol>
40-44	Agency Data	Complete when required by your agency.	Follow your agency's instructions.

Block #	Title	When to Complete	How to Complete
45	Remarks (Parts E and F of the <a href="#">SF-52</a> )	Complete whenever this Guide or your agency's instructions require you to list remarks on the <a href="#">SF-50</a> . 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.	<ol style="list-style-type: none"> <li>1. 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 <a href="#">SF-52</a> 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.</li> <li>2. Limit the length of remarks to the space provided in block 45.               <ol style="list-style-type: none"> <li>a. When employee's reason for resignation/retirement or the agency's finding is so lengthy that they will not fit in block 45, summarize them on the <a href="#">SF-50</a>. (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.)</li> <li>b. 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 <a href="#">SF-50</a>. In these cases:                   <ul style="list-style-type: none"> <li>• The last entry in block 45 of the first <a href="#">SF-50</a> must be: "Remarks continued on second page." and the first entry in block 45 of the second Standard Form 50 must be "Remarks continued:"</li> <li>• Entries in blocks 1-44 and 46-50 on the second Standard Form 50 must be identical to those on the first <a href="#">SF-50</a></li> <li>• Copies of <i>both</i> <a href="#">SF-50s</a> must be placed in the Official Personnel Folder</li> </ul> </li> </ol> </li> </ol>
46	Employing Department or Agency	Complete on all actions.	List Agency (and sub element)—see <a href="#">The Guide to Data Standards</a> .
47	Agency Code	Complete on all actions.	Enter code from <a href="#">The Guide to Data Standards</a> .
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.

Block #	Title	When to Complete	How to Complete
49	Approval Date	Complete on all actions.	<ol style="list-style-type: none"> <li>1. Except as explained in <a href="#">Table 4-B</a> of this chapter, an action may not have an effective date that is earlier than the date on which it was approved (block 49).</li> <li>2. 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 <a href="#">SF-52</a>. If there is no <a href="#">SF-52</a> or if the <a href="#">SF-52</a> 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 <a href="#">SF-50</a>. With few exceptions, this must be on or before the effective date.</li> </ol>
50	(Part C of the <a href="#">SF-52</a> ) Signature/ Authentication and Title of Approving Official	Complete on all actions.	<ol style="list-style-type: none"> <li>1. 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 an <a href="#">SF-52</a> was used to approve the action, this will be the title of the person who signed block C-2 of the <a href="#">SF-52</a>.</li> <li>2. For an action to be approved, there must be a signature either in block C-2 of the <a href="#">SF-52</a> or in block 50 of the <a href="#">SF-50</a>. The signature may be either a pen-and-ink one or an electronic authentication approved by the Office of Personnel Management.</li> <li>3. If an <a href="#">SF-52</a> is not used for the action or does not carry one of these two forms of signature, then the <a href="#">SF-50</a> must be signed personally in pen and ink by the approving official or have an electronic authentication approved by the Office of Personnel Management.</li> <li>4. If there is an <a href="#">SF-52</a> 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.</li> </ol>

**Job Aid. \*\*\*>Completing Parts of the SF-52 Not Otherwise on the SF-50<**

**Part A** – When completing Part A of the SF-52, follow your agency’s instructions.

**Part B** – Follow the instructions below when completing Part B (blocks 40-51) of the SF-52.

Block #	Title	When to Complete	How to Complete
40-44	Follow your agency’s instructions.		
45	Educational Level	<ol style="list-style-type: none"> <li>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: <ul style="list-style-type: none"> <li>• Appointments</li> <li>• Conversions to appointments</li> <li>• Separations</li> <li>• Any action that results in a change to the code shown in that block</li> </ul> </li> <li>Completion is optional on other actions; follow your agency's instructions.</li> </ol>	Review employee's most recent application/resume to determine employee's level of education. Use <a href="#">The Guide to Data Standards</a> to select the appropriate code.
46	Year Degree Attained (Year Degree or Certificate Attained)	<ol style="list-style-type: none"> <li>Complete when education level shown in block 45 indicates completion of: <ul style="list-style-type: none"> <li>• A terminal occupational program (code 06)</li> <li>• An Associate’s degree (code 10)</li> <li>• A Bachelor's or higher degree (code 13 or higher)</li> </ul> </li> <li>Leave blank when block 45 is blank or contains codes 01-05, 07-09, 11, or 12.</li> </ol>	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, "***>2023<" or "***>23<").

<b>Block #</b>	<b>Title</b>	<b>When to Complete</b>	<b>How to Complete</b>
47	Academic Discipline (Instructional Program)	<ol style="list-style-type: none"> <li>Complete when education level shown in block 45 indicates completion of:                             <ul style="list-style-type: none"> <li>A terminal occupational program (code 06)</li> <li>An Associate's degree (code 10)</li> <li>A Bachelor's or higher degree (code 13 or higher)</li> </ul> </li> <li>Leave blank when block 45 is blank or contains codes 01-05, 07-09, 11, or 12.</li> </ol>	Review employee's most recent application/resume to identify employee's academic major or concentration. Use <a href="#">The Guide to Data Standards</a> to select appropriate six-digit code.
48	Functional Class	Complete when block 17 is completed.	Use <a href="#">The Guide to Data Standards</a> 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	<ol style="list-style-type: none"> <li>Complete on:                             <ul style="list-style-type: none"> <li>Appointments</li> <li>Conversions to appointment</li> <li>Separations</li> </ul> </li> <li>Completion is optional for other actions; follow your agency's instructions.</li> </ol>	Enter appropriate code: 1 = U.S. Citizen (or U.S. National) 8 = Other
50	Veterans' Status	<ol style="list-style-type: none"> <li>Complete on:                             <ul style="list-style-type: none"> <li>Appointments</li> <li>Conversions to appointments</li> </ul> </li> <li>Completion is optional for other actions; follow your agency's instructions.</li> </ol>	Use <a href="#">The Guide to Data Standards</a> to enter appropriate code and definition.

<b>Block #</b>	<b>Title</b>	<b>When to Complete</b>	<b>How to Complete</b>
51	Supervisory Status	<p>1. 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> <ul style="list-style-type: none"> <li>• Appointments</li> <li>• Conversions to appointments</li> <li>• Separations</li> <li>• Any action that moves employee to another position or results in a change to employee's supervisory status</li> </ul> <p>2. Completion is optional for other actions.</p>	<p>Use <a href="#">The Guide to Data Standards</a> 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.</p>

**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 [SF-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. 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 [SF-50s](#). List forms of notice may be used only with those natures of action listed in [section 6](#) of this chapter.

The information below must be shown on each page of a listing when used instead of individual [SF-50s](#). 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.

>List Form Section <	>Instructions<
<b>Heading</b>	State in the top center of each page: Personnel Action Listing (Approved SF-50 Exception)
<b>Action</b>	Following the heading, list in this order: <ol style="list-style-type: none"> <li>1. Nature of Action and Code:</li> <li>2. Effective Date:</li> <li>3. Authority and Code:</li> </ol> (Refer to the proper chapter in this Guide to select the correct Nature of Action and Authority.)
<b>Changed Data</b>	After identifying the personnel action, enter the appropriate "from" and "to" data.
<b>Remarks</b>	Enter for all Natures of Action except 352, 430, and 280:  <i>Type of appointment, position, grade, and salary remain unchanged.</i>  Enter any other appropriate remarks as determined by the proper chapter of this Guide for the personnel action being documented.
<b>Name</b>	List the name of each employee affected. Give the name as it appears on the last <a href="#">SF-50</a> .  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.

<b>&gt;List Form Section &lt;</b>	<b>&gt;Instructions&lt;</b>
<b>Social Security Number</b>	List the social security numbers of the employees concerned on only those copies retained for agency use; for example, the payroll or agency copy that is used for computer purposes. The copy given to an employee and the copy placed in *** >their< Official Personnel Folder must not show the social security numbers of any other employees.
<b>Date of Birth</b>	List the dates of birth of the employees concerned on only those copies retained for agency use; for example, the payroll or agency copy that is used for computer purposes. The copy *** placed in ***>the employee's< Official Personnel Folder must not show the social security numbers of any other employees.
<b>Agency</b>	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.
<b>Employing Office and Personnel Office Identifier</b>	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.
<b>Signature/ Authentication and Title of Approving Official</b>	Each page of the list must be signed/authenticated. Follow the instructions for completing block 50 provided in the <a href="#">Job Aid. Completing the SF-50 and Corresponding Parts of the SF-52</a> to sign or authenticate the bottom of each page.
<b>Date</b>	Follow instructions for completing block 49 provided in <a href="#">Job Aid. Completing the SF-50 and Corresponding Parts of the SF-52</a> to enter the appropriate date at the bottom of each page.

**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: **10-10-22**  
Authority Code and Authority: **PDM/Reg.351.302**

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

To: **ABC Agency  
Washington, DC**

<u>Name</u>	<u>Social Security Number</u>	<u>Date of Birth</u>
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  
POI 1234** To: **Agency Code BC-00  
POI 5678**

**John Jones**  
**Personnel Officer**

**Date: 09-27-22**

## Tables

**Table 4-A. Setting Effective Dates**

>Notes and Remarks columns have been added.<

<b>Rule</b>	<b>If</b>	<b>And</b>	<b>Then Effective Date May Be</b>	<b>Notes</b>	<b>Remarks</b>
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.	>Reserved for Future Use<	>Reserved for Future Use<
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 <b>(a)</b> 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; and <b>(b)</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 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 <b>(a)</b> been informed in writing of the conditions of employment under the new appointment; and <b>(b)</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 Continued

<b>Rule</b>	<b>If</b>	<b>And</b>	<b>Then Effective Date May Be</b>	<b>Notes</b>	<b>Remarks</b>
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.	>Reserved for Future Use<	>Reserved for Future Use<
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.		
9	A retirement-eligible employee initially enters phased employment/phased retirement status		The first day of the first pay period beginning after phased employment is approved by the authorized agency official <i>or</i> the first day of a later pay period specified by the employee with an authorized agency official's concurrence.		
10	Employee opts out of phased retirement status because is moving, without a break in service, from agency that approved phased employment to another agency	The new agency did not approve a continuation of phased employment	The date employment ends at the current employing agency.		

Table 4-A. Setting Effective Dates Continued

<b>Rule</b>	<b>If</b>	<b>And</b>	<b>Then Effective Date May Be</b>	<b>Notes</b>	<b>Remarks</b>
11	Employee opts out of phased retirement status and is returning to regular employment status	Authorized agency official approved such on any date on or after the first day of a month through the 15 <sup>th</sup> day of a month	The day immediately preceding the first full pay period of the month following the month in which the election to end phased retirement status to return to regular employment status is approved.	>Reserved for Future Use<	>Reserved for Future Use<
12		Authorized agency official approved such on any date on or after the 16 <sup>th</sup> day of a month through the last day of a month	The day immediately preceding the first full pay period of the second month following the month in which the election to end phased retirement status to return to regular employment status is approved.		
13	Unilateral action by OPM mandates return to regular employment		The date OPM determines that phased retirement has ended.		

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

&gt;Notes and Remarks Columns have been added.&lt;

<b>Rule</b>	<b>If Action is</b>	<b>Then Effective Date Is</b>	<b>Notes</b>	<b>Remarks</b>
1	Required by law, Executive order, or regulation	The date specified in the law, Executive order, or regulation <b>(see Note 1)</b> .	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.	>Reserved for Future Use<
2	Required by court action, settlement agreement, or arbitral award	The date specified in the action, agreement, or award <b>(see Note 2)</b> .		
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 <a href="#">The CSRS and FERS Handbook for Personnel and Payroll Offices</a> .		
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 effectuated 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.		

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

<b>Rule</b>	<b>If Action is</b>	<b>Then Effective Date Is</b>	<b>Notes</b>	<b>Remarks</b>
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.	>Reserved for Future Use<	>Reserved for Future Use<
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 <a href="#">5 CFR part 870</a> .		
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-***>23<, the termination action is effective on 07-22-***>25< 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 <a href="#">SF-52</a> .		
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			



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

>Notes and Remarks columns have been added.<

<b>Rule</b>	<b>If the Employee</b>	<b>And</b>	<b>And</b>	<b>And</b>	<b>Then PRD Code Is</b>	<b>Notes</b>	<b>Remarks</b>
1	Receives a scheduled rate and is not covered by one of the codes below				0		>Reserved for Future Use<
2	Is paid a special rate or a special pay supplement, established under appropriate authority to recruit or retain well qualified individuals in selected agencies, occupations, work levels, and locations	Does not have retained grade	Employee is appointed at a superior qualifications rate		5 <b>(See Notes 2, 3, 4)</b>	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.	
3			Employee is not appointed at a superior qualifications rate		6 <b>(See Notes 3, 4)</b>	3. If an employee covered by a special rate schedule is entitled to a higher rate of pay (e.g., locality rate or retained rate), the employee is not considered to be entitled to a special rate for any purpose (i.e., rules 2-9, 11, and 12).	
4		Has retained grade	Employee occupies a different position than that held before the grade reduction		E <b>(See Notes 3, 4)</b>	4. References to a "special rate" do not include any law enforcement officer (LEO) special base rate for LEOs at grades 3 through 10 payable under section 403 of the Federal Employees Pay Comparability Act (formerly referred to as a table 491 special rate).	
5			Employee occupies the same position		F <b>(See Note 3)</b>		

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

<b>Rule</b>	<b>If the Employee</b>	<b>And</b>	<b>And</b>	<b>And</b>	<b>Then PRD Code Is</b>	<b>Notes</b>	<b>Remarks</b>
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			5 <b>(See Notes 2, 3, 4)</b>	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.	>Reserved for Future Use<
7		Is not entitled to a special rate			7 <b>(See Notes 1, 3, 4)</b>		
8	Retains grade for a 2-year period	Occupies the same position	Is not entitled to a special rate		B <b>(See Notes 3, 4)</b>	3. If an employee covered by a special rate schedule is entitled to a higher rate of pay (e.g., locality rate or retained rate), the employee is not considered to be entitled to a special rate for any purpose (i.e., rules 2-9, 11, and 12).  4. References to a "special rate" do not include any law enforcement officer (LEO) special base rate for LEOs at grades 3 through 10 payable under section 403 of the Federal Employees Pay Comparability Act (formerly referred to as a table 491 special rate).	
9			Is entitled to a special rate		F <b>(See Notes 3, 4)</b>		
10			Receives retained pay		U		
11		Occupies a different position	Is not entitled to a special rate		A <b>(See Notes 3, 4)</b>		
12			Is entitled to a special rate		E <b>(See Notes 3, 4)</b>		
13		Receives retained pay			V		

Table 4-C. Determining the Pay Rate Determinant (PRD), Continued  
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Rule	If the Employee	And	And	And	Then PRD Code Is	Notes	Remarks
14	Is entitled to retained pay for reasons other than service in the Senior Executive Service and rules 21 through 24	Entitlement is under <a href="#">5 USC 5363</a> , <a href="#">5 CFR 536.301</a> (except <a href="#">&gt;5 CFR 536.301(a)(3)</a> and <a href="#">5 CFR 536.301(a)(6)</a> ),	Employee occupies the same position	Has retained grade	U	>Reserved for Future Use<	>Reserved for Future Use<
15				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 <a href="#">5 U.S.C. 5363(a)(2)</a> , <a href="#">5 CFR 536.301(a)(3)</a> , or <a href="#">5 CFR 536.301(a)(6)</a>				
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 <a href="#">5 U.S.C. 3392(c)</a> and <a href="#">5 CFR part 317</a> , subpart H		S		
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 <a href="#">5 CFR 359.705</a>		R		

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

Rule	If the Employee	And	And	And	Then PRD Code Is	Notes	Remarks
21	Employee 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 Personnel Management in consultation with the Office of Management and Budget				C	>Reserved for Future Use<	>Reserved for Future Use<
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, <b>***</b> >employee's< 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	The employee is not paid under the General Schedule		4		
24	Retains pay without time limitation at a rate above the max. rate for the grade for reasons other than those in the rules above	On or before June 30, 1984, the employee was Foreign Service domestic employee who converted to the General Schedule in accordance with <a href="#">P.L. 96-465</a>			2		

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

Rule	If the Employee	And	And	And	Then PRD Code Is	Notes	Remarks
25	Retains pay without time limitation, at a pay rate above the maximum rate range for reasons other than those discussed in the rules above.	After January 11, 2004, SES member is paid above level III of the Executive Schedule	May not suffer a reduction in pay as a result of transferring to an agency with a maximum SES rate of basic pay equal to level III of the Executive Schedule ( <a href="#">5 CFR 534.404(h)(2)</a> ); or, as a result of their employing agency losing certification of the applicable performance appraisal systems for SES members under <a href="#">5 CFR 430.405(h)</a> ( <a href="#">5 CFR 534.403(b)</a> )		2	>Reserved for Future Use<	>Reserved for Future Use<
26	Is paid at a rate below minimum rate for the grade or pay band				T		
27	Is an Inspector General in a designated Federal entity (as defined in <a href="#">5 U.S.C.415</a> and thus covered by <a href="#">5 U.S.C. 423(b)</a> , which provides authority to adjust the classification of such an Inspector General and establishes a pay rate floor				D		

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

Rule	If the Employee	And	And	And	Then PRD Code Is	Notes	Remarks
28	Is receiving a retained rate based on a former pay rate under the Department of Defense National Security Personnel System (NSPS) that was established when the employee was converted out of NSPS, consistent with section 1113(c)(1) of <a href="#">Public Law 111-84</a>	Is not covered by normally applicable pay retention codes because (1) the employee had a time-limited appointment at time of conversion out of NSPS; (2) the employee's retained rate exceeded 150 percent of the applicable step 10 rate of pay; or (3) the employee's retained rate exceeds the rate of pay for level IV of the Executive Schedule	The conditions for terminating pay retention in <a href="#">5 CFR 536.308</a> do not apply.		Y	>Reserved for Future Use<	>Reserved for Future Use<
29		Is temporarily retaining a rate above step 10 of the assigned General Schedule grade based on a former rate of basic pay held by the employee during a temporary promotion or temporary reassignment under NSPS that was in effect immediately before conversion out of NSPS					

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

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<b>Rule</b>	<b>If the Employee</b>	<b>And</b>	<b>And</b>	<b>And</b>	<b>Then PRD Code Is</b>	<b>Notes</b>	<b>Remarks</b>
30	Is receiving a retained rate based on a former pay rate under the Department of Defense National Security Personnel System (NSPS) that was established when the employee was converted out of NSPS, consistent with section 1113(c)(1) of <a href="#">Public Law 111-84</a>	Is receiving a retained rate above the applicable rate range based on transition from NSPS to a position not under the General Schedule within DOD			Y	>Reserved for Future Use<	>Reserved for Future Use<
31	Is receiving a recruitment, relocation, or retention incentive under <a href="#">5 U.S.C. 5753</a> - <a href="#">5 U.S.C.5754</a> computed based on having a retained rate immediately before conversion out of NSPS that is temporarily protected from reduction under the normal rules governing such incentives						

**Table 4-D. Annuitant Status**

&gt;Notes and Remarks columns have been added.&lt;

<b>Rule</b>	<b>If Appointee Is</b>	<b>And</b>	<b>And</b>	<b>Then Enter in Block 28 of SF-50</b>	<b>Notes</b>	<b>Remarks</b>
1	Retired under the Civil Service Retirement System	Will not be subject to a pay reduction under <a href="#">5 U.S.C. 8344</a>	Is also a retired Uniformed Services officer	7 Ret Off/CS-No Reduc	>Reserved for Future Use<	>Reserved for Future Use<
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 <a href="#">5 U.S.C. 8344</a>	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		Annuity has already stopped or will stop upon appointment	Annuity will continue but salary will not be subject to pay reduction under National Defense Authorization Act (NDAA FY 2010)	Is also a retired Uniformed Services officer		
8	Is also a retired Uniformed Services officer			D Ret Off/Former Ann-FE		
9	Is also a retired Uniformed Services enlisted member			F Ret Enl/Former Ann-FE		
10			Is not a Uniformed Services retiree	B Former Ann-FE		



Table 4-D. Annuitant Status, Continued

<b>Rule</b>	<b>If Appointee Is</b>	<b>And</b>	<b>And</b>	<b>Then Enter in Block 28 of SF-50</b>	<b>Notes</b>	<b>Remarks</b>
11	Retired under the Federal Employees Retirement System (FERS)	Annuity will continue but pay will not be subject to reduction under <a href="#">5 U.S.C. 8468</a>	Is also a retired Uniformed Services officer	H Ret Off/FE-No Reduc	>Reserved for Future Use<	>Reserved for Future Use<
12			Is also a retired Uniformed Services enlisted member	J Ret Enl/FE-No Reduc		
13			Is not a Uniformed Services retiree	G FE-No Reduction		
14		Annuity will continue and pay <i>will</i> be subject to reduction under <a href="#">5 U.S.C. 8468</a>	Is also a retired Uniformed Services officer	C Ret Off/Reempl Ann-FE		
15			Is also a retired Uniformed Services enlisted member	E Ret Enl/Reempl Ann-FE		
16			Is not a Uniformed Services retiree	A Reempl Ann-FE		
17			Annuity will continue but salary <i>will not</i> be subject to pay reduction per the National Defense Authorization Act (NDAA FY 2010)			
18	A Uniformed Services retiree	Is an officer who is not described in rules 1, 4, 7, 10, or 13		2 Ret Officer		
19		Is an enlisted member who is not described in rules 2, 5, 8, 11, or 14		3 Ret Enlisted		
20	Former CSRS Phased Retiree	Is not a Uniformed Services retiree		W Former CSRS PR		
21		Is also retired Uniformed Services officer		X Ret Off/Former CSRS PR		
22		Is also a retired Uniformed Services enlisted member		Y Ret Enl/Former CSRS PR		

Table 4-D. Annuitant Status, Continued

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<b>Rule</b>	<b>If Appointee Is</b>	<b>And</b>	<b>And</b>	<b>Then Enter in Block 28 of SF-50</b>	<b>Notes</b>	<b>Remarks</b>
23	Former FERS Phased Retiree	Is not a Uniformed Services retiree		M Former FERS PR	>Reserved for Future Use<	>Reserved for Future Use<
24		Is also a retired Uniformed Services officer		N Ret Off/Former FERS PR		
25		Is also a retired Uniformed Services enlisted member		P Ret Enl/Former FERS PR<		
26	Not described in rules 1-25			9 Not applicable		