Operating Manual

The Guide to Central Personnel Data File Reporting Requirements

(Through Update 11, January 2003)

THE GUIDE TO CENTRAL PERSONNEL DATA FILE REPORTING REQUIREMENTS (Update 11, 1/03)

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A. OVERVIEW

1. General

a. Purpose. The Central Personnel Data File is an automated information system containing individual records for most Federal civilian employees. The system's primary objective is to provide a readily accessible data base for meeting the workforce information needs of the White House, the Congress, the Office of Personnel Management, other Federal agencies and the public. A second objective is to relieve participating agencies of providing separate input or reports to meet a variety of reporting requirements.

b. Privacy. The Office of Personnel Management (OPM) carefully protects Central Personnel Data File (CPDF) data to safeguard employees' privacy. The CPDF is part of an OPM/Governmentwide system of records (OPM/GOVT-1, General Personnel Records) under the Privacy Act of 1974, as amended. The Act requires that agencies publish Federal Register notices describing these systems of records, their uses, and the ways people can access the records. The Privacy Act notice is available at http://www.opm.gov/feddata/html/privacy.htm.

2. Employee Coverage

The CPDF covers all Federal civilian employees of the Executive Branch, except those in the:

- Central Intelligence Agency
- Defense Intelligence Agency
- Federal Reserve System - Board of Governors
- National Imagery and Mapping Agency
- National Security Agency
- Office of the Vice President
- Postal Rate Commission
- Tennessee Valley Authority
- U.S. Postal Service
- White House Office

The CPDF also does not include: (1) non-U. S. citizens in foreign countries, (2) nonappropriated fund personnel, (3) commissioned officers in the Department of Commerce, Department of Health and Human Services, and the Environmental Protection Agency, and (4) employees of the Judicial Branch.

Legislative Branch coverage is limited to the Government Printing Office, the U.S. Tax Court, and several small commissions.

3. Agency Data Submissions

Agencies provide three types of data to the CPDF:

- Status. A record of each employee's personnel data as of the ending date of a fiscal quarter.

- Dynamics. The personnel actions that occurred for the employee during a reporting period.

- Organizational Component Code Translation. The codes, titles, and hierarchical relationships for organizations within an agency at the end of each March and September.

Data submissions from agencies participating in CPDF represent their official workforce statistics. Agencies may process the data through their own systems or arrange for their data to be processed by another Federal agency. Regardless of the processing arrangement, each agency is responsible for collecting the data, editing it for validity, accuracy, and completeness, and furnishing the data to CPDF. Any agency that submits data to CPDF for itself or services one or more other agencies is a Submitting Point. Each Submitting Point is responsible for the timely reporting of its data and data for the agencies it services, and should ensure that all data for the agencies for which it submits are present and complete. When a Submitting Point makes major system changes, it is responsible for ensuring that data accuracy and completeness are maintained. The Office of Personnel Management should be notified when any major system changes are planned. Then, the Office of Personnel Management and the agency will decide whether the agency should submit test data or should test the first new submission for acceptability.

The Office of Personnel Management uses an electronic mailing list to notify agencies of CPDF reporting requirements. To join the CPDF mailing list, which is free of charge, follow the instructions at Internet address http://listserv.opm.gov/archives/cpdf.html.

4. Data Bases

The Office of Personnel Management builds four major data bases from agency-submitted CPDF data:

- Status. An individual record of the status of each active employee as of the end of the reporting period (i.e., the end of the fiscal quarters of March, June, September, and December).

- Dynamics. A record of all personnel actions occurring during a particular reporting period (i.e., the fiscal quarters of January-March, April-June, July-September, and October-December).

- Longitudinal History. Extracts from dynamics files structured for trend analyses.

- Organizational Component Code Translation. The codes, titles, and hierarchical relationships for organizations within an agency at the end of March and September.

The data bases are built from the data that agencies submit to the Office of Personnel Management. Thus, the statistics produced should be the same as those that would be obtained from the individual agency data bases. Figure A-1 contains a list of the data elements and where they are used in the data bases.

5. Quality Control

Agencies are responsible for assuring that the data contained in the CPDF presents an accurate and complete statistical profile of their workforce. For this purpose, agencies must do quality control tests of the data they provide to CPDF from their internal personnel data systems. To help agencies, The Guide to Central Personnel Data File Edits (available online at http://www.opm.gov/feddata/guidance.htm) describes the edits used to check the validity of individual data elements and the proper relationship of values among associated data elements. Agencies should incorporate the CPDF edits into their internal personnel data systems at a location in the system that will maximize the effectiveness of their quality control efforts. These edits constitute the minimum level of quality control. Agencies are encouraged to supplement them based on the specifics of their internal programs and operations.

Submissions not meeting acceptance standards are returned to the agency for correction and resubmission. Agencies regularly receive summary reports of error patterns and detailed reports of specific edit failures for follow-up correction processing in later submissions.

Additionally, the Office of Personnel Management gives agencies a quality control report for each submission that shows the number and type of errors in their submissions, the number of records received and processed, and other quality control information. Agencies should correct the incorrect data and verify that the number of records recorded represents the complete submission.

The major thrust of the Office of Personnel Management's quality control and assurance efforts is to assure that agencies have quality control operations in place to detect and correct incorrect and incomplete data before they submit the data to CPDF. The data submitted to the Office of Personnel Management represents an official representation of each Federal agency's workforce statistics. Each agency is responsible for the quality of its data in the CPDF and for the statistical profile of the agency that CPDF presents to the Office of Management and Budget, the Congress, the White House, and other users of the CPDF.

Besides editing the agencies' CPDF data submissions, the Office of Personnel Management performs other quality control checks. Among the most significant of these checks are Standard Form 113-A benchmarking and CPDF/Official Personnel Folder accuracy surveys.

a. Standard Form 113-A benchmarking consists of the comparison of CPDF populations to comparable statistics on the Standard Form 113-A (Monthly Report of Federal Civilian Employment). When comparing data from the respective systems, the Office of Personnel Management takes into account differences in reporting criteria and population coverage. The Office of Personnel Management will contact agencies if the benchmarking reveals large data discrepancies that cannot be explained by these systemic differences.

b. CPDF/Official Personnel Folder accuracy surveys consist of the comparison of a sample of CPDF records to documents of record in Official Personnel Folders and other official files that contain CPDF source documents. The Office of Personnel Management's objective is to assess how accurately and completely CPDF data reflects data on source documents.

Figure A-1. Data Element Content of the Four Major Data Bases

(Data element definitions can be found in The Guide to Personnel Data Standards, which is available online at http://www.opm.gov/feddata/guidance.htm.)

Data Element	Status	Dynamics	Longi-tudinal History	Organizational Component Translations
Adjusted Basic Pay[1]	X	X	X	
Agency/Subelement	X	X	X	X
Annuitant Indicator	X			
As of Date[1]	X			
Award Amount		X	X	
Bargaining Unit	X			
Basic Pay	X	X		
Consolidated Metropolitan Statistical Area[1]	X	X		
Cost of Living Allowance[1]	X	X		
Creditable Military Service	X	X		
Current Appointment Authority	X	X	X	
Date of Birth	X	X		
Duty Station	X	X	X	
Dynamics Category[1]		X		
Education Level	X	X		
Effective Date of Personnel Action		X	X	
Employee Name[2]				

[1] The data element is computer generated.

[2] To protect confidentiality of employee records, the Office of Personnel Management stores names separately from the major CPDF data bases.

Figure A-1. Data Element Content of the Four Major Data Bases
(continued)

Data Element	Status	Dynamics	Longi-tudinal History	Organizational Component Translations
FLSA (Fair Labor Standards Act) Category	X			
Federal Employees' Group Life Insurance (FEGLI)	X			
FERS (Federal Employees' Retirement System) Coverage	X			
Frozen Service	X	X		
Functional Classification	X			
Grade, Level, Class, Rank, or Pay Band	X	X	X	
GS (General Schedule) Related Grade[1]	X	X	X	
Handicap	X	X		
Health Plan	X			
Instructional Program	X	X		
Legal Authority		X	X	
LEO (Law Enforcement Officer) Geographic Pay Area[1]	X	X		
Locality Adjustment	X	X		
Locality Adjustment Indicator[1]			X	
Locality Pay Area[1]	X	X	X	
Metropolitan Statistical Area[1]	X	X		
Nature of Action		X	X	
Occupation	X	X	X	
Occupational Category[1]	X	X	X	

[1] The data element is computer generated.

Figure A-1. Data Element Content of the Four Major Data Bases
(continued)

Data Element	Status	Dynamics	Longi-tudinal Histor y	Organizational Component Translations
OPM (Office of Personnel Management) Oversight Office[1]	X	X		
OPM (Office of Personnel Management) Service Center[1]	X	X		
Organizational Component	X	X		X
Organizational Title				X
Pay Basis	X	X	X	
Pay Plan	X	X	X	
Pay Rate Determinant	X	X	X	
Pay Status	X			
Personnel Office Identifier	X	X		
Position Occupied	X	X	X	
Previous Retirement Coverage		X		
Prior Adjusted Basic Pay[1]		X		
Prior Basic Pay		X		
Prior Duty Station		X		
Prior Grade, Level, Class, Rank, or Pay Band		X		
Prior LEO (Law Enforcement Officer) Geographic Pay Area[1]		X		
Prior Locality Adjustment		X		
Prior Locality Pay Area[1]		X		
Prior Occupation		X		

[1] The data element is computer generated.

Figure A-1. Data Element Content of the Four Major Data Bases
(continued)

Data Element	Status	Dynamics	Longi-tudinal Histor y	Organizational Component Translations
Prior Pay Basis		X		
Prior Pay Plan		X		
Prior Pay Rate Determinant		X		
Prior Step or Rate		X		
Prior Work Schedule		X		
Processing Flag[1]		X		
Race or National Origin	X	X		
Rating of Record (Level)	X	X	X	
Rating of Record (Pattern)	X	X	X	
Rating of Record (Period)	X	X		
Retained Grade	X			
Retained Pay Plan	X			
Retained Step	X			
Retention Allowance	X	X		
Retention Allowance Indicator[1]			X	
Retirement Plan	X	X		
Senior Pay Levels Indicator[1]	X	X		
Service Computation Date (Leave)	X	X		
Sex	X	X		
Social Security Number[3]	X	X	X	
Special Pay Table Identifier	X			
Step or Rate	X	X	X	

[1] The data element is computer generated.

[3] To protect confidentiality of employee records, the Office of Personnel Management either alters the Social Security Number or deletes it from data bases that are available to users.

Figure A-1. Data Element Content of the Four Major Data Bases
(continued)

Data Element	Status	Dynamics	Longi-tudinal History	Organizational Component Translations
Supervisory Differential	X	X		
Supervisory Differential Indicator[1]			X	
Supervisory Status	X	X	X	
Tenure	X	X	X	
Total Pay[1]	X	X	X	
Type of Appointment[1]	X	X	X	
U.S. Citizenship	X			
Veterans Preference	X	X		
Veterans Status (Active Military Service)	X	X		
Work Schedule	X	X	X	
Year Degree or Certificate Attained	X	X		

[1] The data element is computer generated.

B. STATUS DATA SUBMISSIONS

1. General

a. Definition. Status data submissions consist of individual employee records containing required CPDF data elements as they appear in agency systems as of the end of the reporting period or, alternatively, the last day of the last full pay period in the reporting period.

b. Coverage. Status data submissions consist of all active employees (whether in a pay or nonpay status) on the agency rolls as of the end of the period. Data for employees on detail should reflect their position of record (i.e., the position to which they are permanently assigned).

c. Frequency and timing. Submissions are required quarterly and are due at the Office of Personnel Management no later than the 22nd of the month following end of the quarter (e.g., input for December is due at the Office of Personnel Management by January 22nd).

2. Data Element Coverage

a. General

Figure B-1 contains the required data elements and input record format for status submissions. When an employee has more than one appointment in the same agency, submit more than one status record for the employee using the same social security number. All applicable data elements must be reported for all employees on each submission.

b. Specific Requirements

Use the definitions and code sets in The Guide to Personnel Data Standards, which is available online at http://www.opm.gov/feddata/guidance.htm. Most CPDF status data elements are reported for all employees. The following material clarifies reporting requirements for data elements that can be reported differently for different groups of employees.

(1) **Basic Pay** must be reported at a rate consistent with pay basis. Amounts should be right justified with leading zeros. Report the nearest whole dollar amount when the pay basis is annual, school year, monthly, or biweekly. Report all zeros when the pay basis is without compensation. For all other pay bases, report the amount in dollars and cents with no decimal. For employees on grade retention, show the basic pay and pay basis in terms of the system under which the employee is being paid, i.e., the retained pay plan.

(2) **Creditable Military Service** must be reported on all employees (other than reemployed annuitants) on whom an accession or conversion personnel action with an effective date of October 1, 1986, or later has been processed. Use zeros when the reporting requirement applies but the employee has no creditable military service. Use blanks when the reporting requirement does **NOT** apply.

(3) **Current Appointment Authority**:

(a) Current Appointment Authority (1) must be reported for all employees. The current appointment authority is the legal authority on the employee's most recent accession or conversion, excluding any mass transfers. Current appointment authority (1) may be reported as "ZZZ" for competitive service employees whose Service Computation Date for Leave is earlier than January 1982. Code "ZZZ" indicates the employee was appointed before agencies were required to report current appointment authority for competitive service employees.

(b) Current Appointment Authority (2) is blank unless there were two legal authorities on the employee's most recent accession or conversion action. Current appointment authority (2) is always blank if current appointment authority (1) is "ZZZ."

(4) **Duty Station** is reported for all employees. In processing, we replace the last three positions of the duty station code with zeros for all foreign countries, U.S. possessions, and U.S. administered areas.

(5) **Education Level** must be reported for all permanent employees (tenure groups 1 and 2) and for all Senior Executive Service employees. It may be reported or left blank for temporary employees.

(6) **Federal Employees' Retirement System (FERS)** coverage must be reported **ONLY** for those employees who are covered by the retirement plan codes K, L, M, or N. For all other employees, FERS coverage should be left blank.

(7) **Frozen Service** must be reported if: (1) the employee's retirement plan code is K, L, M, or N; or (2) the employee's retirement plan code is C or E **AND** the employee has had an accession or conversion action effective July 1, 1987, or later. If the employee falls within either of these categories and has no frozen service, enter zeros in the frozen service field. If the employee does not fall into either category, leave the frozen service field blank.

(8) **Health Plan** must be reported for all employees on submissions for the months of March and September. It need not, but may be, included on other submissions. If submitted, the data will be processed through the normal CPDF edits.

(9) **Instructional Program** and **Year Degree or Certificate Attained** must be reported for all employees whose reported education level is:

- Bachelor's degree or higher; OR
- Associate's degree if the employee was hired on or after October 1, 1993; OR
- Completed terminal occupational program if the employee was hired on or after October 1, 1993.

(10) **Locality Adjustment** is the adjusted basic pay minus basic pay. It is always represented as an annual dollar amount. If the employee's duty station or pay system is excluded from locality pay, report locality adjustment as blank. If the difference between adjusted basic pay and basic pay is zero, report locality adjustment as zero.

(11) **Pay Status** must be reported for all employees. Employees on an intermittent work schedule are always reported in pay status.

(12) **Rating of Record**:

(a) Rating of Record (Level) must be reported for all employees. Report the summary level for the employee's last rating of record unless the employee:

- Moved into the Senior Executive Service since his or her last rating. For Senior Executive Service employees, report only the ratings received under the Senior Executive Service appraisal system. If the employee has not yet received a rating under the Senior Executive Service appraisal system, report code "X."

- Moved to a position excluded from the performance appraisal system since his or her last rating. In these cases, report code "Z."

(b) Rating of Record (Pattern) and Rating of Record (Period) must be consistent with the Rating of Record (Level). These data elements may be blank if the employee has not yet been rated or is in a position excluded from the performance appraisal system. The Rating of Record (Period) must be blank if the employee has not yet been rated.

(13) **Retained Pay Plan**, **Retained Grade**, and **Retained Step** must be reported with each submission for all employees in a period of grade retention under 5 U.S.C. 5362 (pay rate determinant codes A, B, E, F, U, and V). For all other employees, leave these data elements blank.

(14) **Retention Allowance** and **Supervisory Differential** must be reported for all employees receiving the allowance or differential. For all other employees, leave these data elements blank.

(15) **Special Pay Table Identifier** must be reported for all GS and GM special rate employees. For all other employees, leave this data element blank.

3. Quality Control

a. Acceptance. The Office of Personnel Management will accept a status submission if it meets the following criteria:

(1) The number of records shown on the transmittal sheet matches the number the Office of Personnel Management finds on the file.

(2) The number of records submitted is reasonable in comparison with the previous quarter's submission. Overall, the Office of Personnel Management will consider a variance within plus or minus 5 percent as reasonable.

(3) Errors on key fields are within tolerances. We edit agency submissions for compliance with data standards and internal consistency. The edits are shown in The Guide to Central Personnel Data File Edits, which is available online at http://www.opm.gov/feddata/guidance.htm. Data that fail the edits are errors. Error rates are computed for each agency and for major subelements within selected agencies. Tolerances are error rates of:

- 3% or less for agencies or subelements with 1000 or more employees;
- 5% or less for agencies or subelements with 50 to 1000 employees.

The key fields are:

- Agency/Subelement
  (The first two positions, which identify the agency, are used as the key field.)
- Basic Pay
- Current Appointment Authority
- Date of Birth
- Duty Station
- Grade, Level, Class, Rank, or Pay Band
- Handicap
- Health Plan
- Locality Adjustment
- Occupation
- Pay Basis
- Pay Plan
- Pay Status
- Position Occupied
- Race or National Origin
- Service Computation Date (Leave)
- Sex
- Special Pay Table Identifier
- Supervisory Status
- Tenure
- Veterans Preference
- Veterans Status (Active Military Service)
- Work Schedule

b. Rejection. If the Office of Personnel Management cannot accept a status submission, the agency representative responsible for CPDF submissions will be notified. The agency will be expected to make necessary corrections and forward a resubmission when possible, but no later than 15 working days after notification of the rejection.

c. Quality Control Reports. The Office of Personnel Management will routinely give agencies the following quality control reports:

(1) Status Submission Quality Control Report. Displays the overall quality of the submission, the data elements with errors of more than 1 percent and the 10 most frequently occurring error codes.

(2) Status File Overview Report. Shows by data element the count of records that contain each value for selected data element codes, asterisks, or valid blanks, and (where code counts are not given) the count of records containing valid data. Agencies should use the Overview Report to identify data elements with invalid rates of 1 percent or more to track data element problem areas. Data element breakouts, where present, should be compared with previous submissions to ensure that any significant changes are appropriate. The Office of Personnel Management will make such comparisons and contact agencies for an explanation of questionable changes.

d. Corrections. Agencies should test their files and correct errors before submission to the Office of Personnel Management. Agencies should not submit specific corrections for individual status data errors. Errors should be corrected at the agency and correct data provided in the next regular submission.

Figure B-1. Status Record Format

(Data element definitions can be found in The Guide to Personnel Data Standards, which is available online at http://www.opm.gov/feddata/guidance.htm.)

Record Position	Number of Positions	Data Element
1-4	4	Agency/Subelement
5-22	18	Organizational Component
23-26	4	Personnel Office Identifier
27-35	9	Social Security Number
36-41	6	Date of Birth (YYYYMM)
42	1	Veterans Preference
43	1	Tenure
44-49	6	Service Computation Date (Leave) (YYYYMM)
50	1	Retirement Plan
51-54	4	Creditable Military Service (YYMM)
55-58	4	Frozen Service (YYMM)
59	1	Blank
60-62	3	Health Plan
63	1	Veterans Status (Active Military Service)
64	1	Annuitant Indicator
65	1	U.S. Citizenship
66	1	Sex
67	1	Race or National Origin
68-69	2	Handicap
70-71	2	Pay Plan
72-75	4	Occupation
76-77	2	Grade, Level, Class, Rank, or Pay Band
78-79	2	Step or Rate
80-85	6	Basic Pay
86-87	2	Functional Classification
88-89	2	Pay Basis

Figure B-1. Status Record Format
(continued)

Record Position	Number of Positions	Data Element
90	1	Work Schedule
91	1	Pay Rate Determinant
92	1	Position Occupied
93	1	Supervisory Status
94	1	FLSA (Fair Labor Standards Act) Category
95-98	4	Bargaining Unit
99-107	9	Duty Station
108-110	3	Current Appointment Authority (1)
111-113	3	Current Appointment Authority (2)
114-115	2	Retained Pay Plan
116-117	2	Retained Grade
118-119	2	Retained Step
120	1	Rating of Record (Level)
121	1	Rating of Record (Pattern)
122-127	6	Rating of Record (Period) (YYYYMM)
128	1	Pay Status
129	1	FERS (Federal Employees' Retirement System) Coverage
130-134	5	Locality Adjustment
135-139	5	Blank
140-144	5	Supervisory Differential
145-149	5	Retention Allowance
150-153	4	Special Pay Table Identifier
154-155	2	Education Level
156-159	4	Year Degree or Certificate Attained (YYYY)
160-165	6	Instructional Program
166-167	2	Federal Employees' Group Life Insurance
168-170	3	Blank

C. DYNAMICS DATA SUBMISSIONS

1. General

a. Definition. Dynamics data submissions consist of personnel actions prescribed in The Guide to Processing Personnel Actions that have been processed by agency data systems during the reporting period.

(1) Exceptions. Submission of the following personnel actions is optional:

- Continuance Not-to-exceed (nature of action 750)
- Change in Hours (nature of action 782)
- Change in Data Element (nature of action 800)
- Elected Full Living Benefits (nature of action 805)
- Elected Partial Living Benefits (nature of action 806)
- Change in Tenure (nature of action 880)
- FEGLI Change (nature of action 881)
- Change in Service Computation Date (nature of action 882)
- Change in Veterans Preference (nature of action 883)

(2) Personnel actions with effective dates that are more than 2 years before, or more than 6 months after, the reporting date will be rejected.

b. When two actions are documented on the same SF 50. Except where the first nature of action is 001 (cancellation) or 002 (correction), when two actions are documented on the same SF 50 (Notification of Personnel Action), each action must appear as a separate record in the agency's CPDF Dynamics submission.

c. Frequency and timing. The normal reporting period is the calendar month, but may end as of the last full pay period of the month. Submissions are due to the Office of Personnel Management as soon as possible following completion of agency processing, but no later than 3 weeks following the end of a monthly reporting period.

2. Data Element Coverage

a. General

Figure C-1 shows the required data elements and input record formats for dynamics submissions. When an employee has more than one appointment in the same agency, use the same social security number on all dynamics actions submitted. Figure C-2 consists of a decision logic table prescribing the data element requirements for specific types of personnel actions. Data elements not required on a transaction may be left blank.

b. Specific Requirements

Use the definitions and code sets in The Guide to Personnel Data Standards, which is available online at http://www.opm.gov/feddata/guidance.htm. Most CPDF dynamics data elements are reported for all records. The following material clarifies reporting requirements for data elements that can be reported differently for different groups of employees.

(1) **Award Amount** must be reported in whole dollars. If an award amount is under-reported, do not submit a second action with the increment. Submit a correction with the total corrected award amount.

(2) **Basic Pay** must be reported at a rate consistent with pay basis. Amounts should be right justified with leading zeros. Report the nearest whole dollar amount when the pay basis is annual, school year, monthly, or biweekly. Report all zeros when the pay basis is without compensation. For all other pay bases, report the amount in dollars and cents with no decimal. For employees on grade retention, show the basic pay and pay basis in terms of the system under which the employee is being paid, i.e., the retained pay plan.

(3) **Current Appointment Authority**:

(a) Current Appointment Authority (1) must be reported for all employees. The current appointment authority is the legal authority on the employee's most recent accession or conversion, excluding any mass transfers. Current appointment authority (1) may be reported as "ZZZ" for competitive service employees whose Service Computation Date for Leave is earlier than January 1982. Code "ZZZ" indicates the employee was appointed before agencies were required to report current appointment authority for competitive service employees.

(b) Current Appointment Authority (2) is blank unless there were two legal authorities on the employee's most recent accession or conversion action. Current appointment authority (2) is always blank if current appointment authority (1) is "ZZZ."

(c) On accession and conversion actions, the current appointment authorities must match the legal authorities. The only exception is Mass Transfer.

(4) **Duty Station** is reported for all employees. In processing, we replace the last three positions of the duty station code with zeros for all foreign countries, U.S. possessions, and U.S. administered areas.

(5) **Education Level** must be reported for all permanent employees (tenure groups 1 and 2) and for all Senior Executive Service employees. It may be reported or left blank for temporary employees.

(6) **Employee Name** has no prescribed name format. However, the preferred format is last name followed by a comma and a space, first name followed by a space, and middle name or initial. An example is "Smith, John A". Use Roman numerals to show a numeric surname suffix. Show "Smith the 3rd" as "Smith III,". The name should be left justified, with any unused positions blank.

(7) **Instructional Program** and **Year Degree or Certificate Attained** must be reported for all employees whose reported education level is:

- Bachelor's degree or higher; OR
- Associate's degree if the employee was hired on or after October 1, 1993; OR
- Completed terminal occupational program if the employee was hired on or after October 1, 1993.

(8) **Nature of Action**:

(a) NOA(1) must be reported on all records.

(b) NOA(2) should be blank, unless NOA(1) is 001 (cancellation) or 002 (correction). Following are instructions for submitting cancellation and correction actions.

(1) Cancellations

Place 001 in the NOA(1) field. Place the NOA that is in the record being cancelled in the NOA(2) field. Also, include the agency, social security number, and the effective date that are in the record being cancelled.

For example, you originally submitted a record with 702 in the NOA(1) field. You now want to cancel the action. You should submit a record with 001 in the NOA(1) field and 702 in the NOA(2) field, along with the agency, social security number, and effective date that are in the record being cancelled.

(2) Corrections

(a) Correction of Data (except Nature of Action, Social Security Number, and Effective Date of Personnel Action)

Place 002 in the NOA(1) field. Place the originally submitted NOA in the NOA(2) field. Place the corrected data in the applicable field. Complete the remainder of the record per the instructions in Figure C-2 as they apply to the NOA in the NOA(2) field. Leave the "nature of action being corrected" field blank.

For example, you originally submitted a record with 702 in the NOA(1) field. You now want to correct the service computation date (SCD) from 199810 to 199812. You should submit a record with 002 in the NOA(1) field, 702 in the NOA(2) field, and 199812 in the SCD field. Complete the remainder of the record per the instructions in Figure C-2 as they apply to NOA 702. Leave the "nature of action being corrected" field blank.

(b) Correction of Nature of Action

Place 002 in the NOA(1) field. Place the correct NOA in the NOA(2) field. Place the incorrect NOA in the "nature of action being corrected" field. Complete the remainder of the record per the instructions in Figure C-2 as they apply to the NOA in the NOA(2) field.

For example, you originally submitted a record with 702 in the NOA(1) field. You now want to correct the NOA to 703. You should submit a record with 002 in the NOA(1) field, 703 in the NOA(2) field, and 702 in the "nature of action being corrected" field. Complete the remainder of the record per the instructions in Figure C-2 as they apply to NOA 703.

(c) Correction of Social Security Number

Place 002 in the NOA(1) field. Place the originally submitted NOA in the NOA(2) field. Place the correct SSN in the SSN field. Place the incorrect SSN in the "social security number being corrected" field. Complete the remainder of the record per the instructions in Figure C-2 as they apply to the NOA in the NOA(2) field.

For example, you originally submitted a record with 702 in the NOA(1) field. You now want to correct the SSN from 333333333 to 777777777. You should submit a record with 002 in the NOA(1) field, 702 in the NOA(2) field, the correct SSN of 777777777 in the SSN field, and the incorrect SSN of 333333333 in the "social security number being corrected" field. Complete the remainder of the record per the instructions in Figure C-2 as they apply to NOA 702.

(d) Correction of Effective Date of Personnel Action

Place 002 in the NOA(1) field. Place the originally submitted NOA in the NOA(2) field. Place the correct effective date in the "effective date of personnel action" field. Place the incorrect effective date in the "effective date of personnel action being corrected" field. Complete the remainder of the record per the instructions in Figure C-2 as they apply to the NOA in the NOA(2) field.

For example, you originally submitted a record with 702 in the NOA(1) field. You now want to correct the effective date from 19991101 to 19991201. You should submit a record with 002 in the NOA(1) field, 702 in the NOA(2) field, the correct effective date of 19991201 in the " effective date of personnel action" field, and the incorrect effective date of 19991101 in the "effective date of personnel action being corrected" field. Complete the remainder of the record per the instructions in Figure C-2 as they apply to NOA 702.

(9) **Rating of Record**:

(a) Rating of Record (Level) must be reported for all employees. Report the summary level for the employee's last rating of record unless the employee:

- Moved into the Senior Executive Service since his or her last rating. For Senior Executive Service employees, report only the ratings received under the Senior Executive Service appraisal system. If the employee has not yet received a rating under the Senior Executive Service appraisal system, report code "X."

- Moved to a position excluded from the performance appraisal system since his or her last rating. In these cases, report code "Z."

(b) Rating of Record (Pattern) and Rating of Record (Period) must be consistent with the Rating of Record (Level). These data elements may be blank if the employee has not yet been rated or is in a position excluded from the performance appraisal system. The Rating of Record (Period) must be blank if the employee has not yet been rated.

3. Quality Control

a. Acceptance and Rejection of File Submissions. Typically, the Office of Personnel Management will accept a dynamics file if the record count an agency furnishes with each submission on the Office of Personnel Management Form 1101 (Figure B-2) is the same as the number of records of Personnel Management finds on the file. However, the Office of Personnel Management may reject a file if, in its judgment, the file reflects significant errors. Examples of such errors are the total absence of certain categories of actions (such as accessions or separations) or the total absence of a required data element. If a file is rejected, the Office of Personnel Management will notify the agency's Director of Personnel. Agencies must correct and resubmit rejected files within 15 calendar days following receipt of the Office of Personnel Management notice.

b. Quality Control Reports. The Office of Personnel Management routinely gives agencies the quality control reports (Dynamics Submission Quality Control Report, Dynamics Volume and Currency Report, and Dynamics Overview Report) described below. The reports are designed to help in determining each file's acceptability and usefulness. The reports are normally produced only at the agency level (i.e., the first two characters of the agency code). When multiple agencies are represented in a submission, a report is produced for each agency in the submission. The heading of each report contains the name of the agency the data reflects, the name of the submitting agency, the period of time covered by the submission, the submission ID (assigned by the CPDF system), and the date the submission is logged into the system after receipt of the submission and transmittal.

(1) Dynamics Submission Quality Control Report. Shows errors by record, data element, and error code.

(a) Errors by Record. Displays the following counts:

(1) The number of records submitted for the agency.

(2) The number of duplicate records (e.g., records matching on the four control fields of agency code, social security number, nature of action, and effective date of personnel action).

(3) The number of records cancelled by the agency.

(4) The number of corrections cancelled by the agency.

(5) The number of records corrected (e.g., the original action and the NOA 002 action correcting it when both are processed within the same submission).

(6) The number of cancellation actions generated by the CPDF system when data is present in the correction control fields of the Dynamics record (i.e., social security number being corrected, nature of action being corrected, and effective date of personnel action being corrected).

(7) The number of records edited. This number is the result of (a) subtracting records (duplicate records, records cancelled, corrections cancelled, and records corrected) from the submitted count and (b) adding the count of CPDF generated cancellations.

(8) The number of records with errors.

(9) The number of records rejected due to fatal errors. If the number of rejected records is 50 percent or more of the records edited, a "***REJECTED***" message is shown, indicating that the submission is rejected and that a resubmission is required.

(10) The number of records accepted.

(11) The number of records with all required data elements.

(b) Errors by Data Element. Displays the data elements with errors of 1 percent or more, helping identify problem areas in the submission.

(c) Errors by Error Code. Displays the 20 most frequently occurring error codes, and the 5 most frequently occurring error codes by NOA group. For each error code displayed, a count of the number of occurrences of the error is shown, along with percentages reflecting error rates compared to all errors for the agency submission and all records edited for the agency submission. If more than 20 different errors are detected in the agency submission, the excess errors are combined in an Other category.

(2) Dynamics Volume and Currency Report. Compares the effective date of transactions to the submission period ending date and displays counts by NOA group. The majority of the transactions (90 percent or more) should fall in the current category (i.e., effective dates equal to or later than the beginning date of the submission period). In addition to displaying a basic transaction lag pattern, the report shows transaction volumes by NOA group. This helps in identifying problem areas on individual submissions (e.g., no NOA 100s or 800s) and in performing transaction trend analyses over time by comparing relative volumes for NOA groups from one submission to the next.

(3) Dynamics Overview Report. Shows, by data element (or data element group) within NOA group and for all NOAs, the count of records that contain valid data, the count of records that contain invalid data, and the percentage of errors for all records for which the data are required or submitted.

c. Rejected Actions

If CPDF rejects an action, the agency should first determine if the action is of a type that should be submitted to CPDF. For example, nature of action codes 900-999 are reserved for agencies' internal use and are not to be submitted to CPDF; CPDF will reject them. If a rejected action is of a type that agencies should not submit to CPDF, the agency should take measures to assure their exclusion from future CPDF submissions. If the agency determines that the action is of a type that should be submitted to CPDF, the agency should make the correction and include the corrected action in their next scheduled dynamics file submission. Note that agencies may be aware of errors on their dynamics records, but choose to report the actions so that their dynamics file submission is not delayed by the data correction effort. The Office of Personnel Management considers this an acceptable practice when the alternative is not to submit the actions at all.

d. Corrections. To correct an error, look up the error code (i.e., edit number) in the Guide to Central Personnel Data File Edits. Then examine the data checked by the edit to identify the data in error:

If the error is on the personnel action (check the Official Personnel Folder copy to verify), prepare a correction as described in The Guide to Processing Personnel Actions, which is available online at http://www.opm.gov/feddata/persdoc.htm. Such corrections should flow through the agency personnel system to CPDF as part of routine processing.

(1) If the error is in data not reported on the personnel action, check the agency data system. If the data are incorrect, correct the data system using the procedures of that system. Such corrections should flow through the agency personnel system to CPDF as part of routine processing.

(2) If the data are now correct, determine why the data were different when sent to CPDF:

- The data were previously incorrect and were corrected either using the procedures described in The Guide to Processing Personnel Actions or the procedures specific to the agency data system. In these cases, no further action is required.

- If the data have been correct all along, then the incorrect data sent to CPDF is likely to be the result of a systemic problem introduced as the data flow through the path from the agency data system to the CPDF submission sent to the Office of Personnel Management. The data path must be examined and the means by which the errors are introduced must be repaired. Correction of these systemic errors is typically managed by resubmission of the entire month's Dynamics record submission(s) to the Office of Personnel Management. (The original submission containing the incorrect data is discarded by the Office of Personnel Management, and the newly corrected resubmission is used in its place.)

Figure C-1. Dynamics Record Format

(Data element definitions can be found in The Guide to Personnel Data Standards, which is available online at http://www.opm.gov/feddata/guidance.htm.)

Record Position	Number of Positions	Data Element
1-4	4	Agency/Subelement
5-22	18	Organizational Component
23-26	4	Personnel Office Identifier
27-35	9	Social Security Number
36-41	6	Date of Birth (YYYYMM)
42	1	Veterans Preference
43	1	Tenure
44-49	6	Service Computation Date (Leave) (YYYYMM)
50	1	Retirement Plan
51-54	4	Creditable Military Service (YYMM)
55-58	4	Frozen Service (YYMM)
59	1	Previous Retirement Coverage
60	1	Veterans Status (Active Military Service)
61	1	Sex
62	1	Race or National Origin
63-64	2	Handicap
65-67	3	Nature of Action (1)
68-70	3	Nature of Action (2)
71-73	3	Legal Authority (1)
74-76	3	Legal Authority (2)
77-84	8	Effective Date of Personnel Action (YYYYMMDD)
85-86	2	Pay Plan
87-90	4	Occupation
91-92	2	Grade, Level, Class, Rank, or Pay Band
93-94	2	Step or Rate

Figure C-1. Dynamics Record Format
(continued)

Record Position	Number of Positions	Data Element
95-100	6	Basic Pay
101-102	2	Pay Basis
103	1	Work Schedule
104	1	Pay Rate Determinant
105	1	Position Occupied
106	1	Supervisory Status
107-115	9	Duty Station
116-118	3	Current Appointment Authority (1)
119-121	3	Current Appointment Authority (2)
122	1	Rating of Record (Level)
123	1	Rating of Record (Pattern)
124-129	6	Rating of Record (Period) (YYYYMM)
130-133	4	Blank
134-138	5	Award Amount
139-146	8	Blank
147-169	23	Employee Name
170-171	2	Prior Pay Plan
172-175	4	Prior Occupation
176-177	2	Prior Grade, Level, Class, Rank, or Pay Band
178-179	2	Prior Step or Rate
180-185	6	Prior Basic Pay
186-187	2	Prior Pay Basis
188	1	Prior Work Schedule
189	1	Prior Pay Rate Determinant
190-192	3	Nature of Action Being Corrected
193-200	8	Effective Date of Personnel Action Being Corrected (YYYYMMDD)
201-209	9	Social Security Number Being Corrected

Figure C-1. Dynamics Record Format
(continued)

Record Position	Number of Positions	Data Element
210-214	5	Prior Locality Adjustment
215-223	9	Prior Duty Station
224-228	5	Locality Adjustment
229-233	5	Blank
234-238	5	Supervisory Differential
239-243	5	Retention Allowance
244-245	2	Education Level
246-251	6	Instructional Program
252-255	4	Year Degree or Certificate Attained (YYYY)
256-260	5	Blank

Figure C-2. Dynamics Data Element Requirements by Nature of Action

(Data element definitions can be found in The Guide to Personnel Data Standards, which is available online at http://www.opm.gov/feddata/guidance.htm.)

Required Data Elements	When Nature of Action (1) Is:							
	1xx or 2xx	3xx or 4xx	5xx	6xx thru 8xx BUT NOT 815-19 825, 840-48 878-79	818-819	815-816, 825, 840-48, 878-79	001	002
Agency/Subelement	X	X	X	X	X	X	X	X
Award Amount					X	X		X
Basic Pay	X		X	X	X	X		X
Creditable Military Service	X[1]		X	X[2]				X
Current Appointment Authority (1)	X	X	X	X	X	X		X
Current Appointment Authority (2)	X[3]	X[3]	X[3]	X[3]	X[3]	X[3]		X[3]
Date of Birth	X	X	X	X	X	X		X
Duty Station	X	X	X	X	X	X		X
Education Level	X[4]	X[4]	X[4]	X[4]	X[4]	X[4]		X[4]
Effective Date of Personnel Action	X	X	X	X	X	X	X	X
Effective Date of Personnel Action Being Corrected								X[5]

[1] May be blank if NOA is 2xx.

[2] Required if nature of action is 803 and retirement plan is K, L, M, or N.

[3] May be blank if there is only one authority.

[4] May be blank if tenure is 0 or 3 and pay plan is other than ES.

[5] Required if effective date of personnel action on the original action is being corrected.

Figure C-2. Dynamics Data Element Requirements by Nature of Action
(continued)

Required Data Elements	When Nature of Action (1) Is:							
	1xx or 2xx	3xx or 4xx	5xx	6xx thru 8xx BUT NOT 815-19 825, 840-48 878-79	818-819	815-816, 825, 840-48, 878-79	001	002
Employee Name	X	X	X	X	X	X		X
Frozen Service	X[6]		X[6]	X[2]				X
Grade, Level, Class, Rank, or Pay Band	X		X	X	X	X		X
Handicap	X	X	X	X	X	X		X
Instructional Program	X[7]	X[7]	X[7]	X[7]	X[7]	X[7]		X[7]
Legal Authority (1)	X	X[8]	X	X	X	X[8]	X	X
Legal Authority (2)	X[3]	X[3]	X[3]	X[3]	X[3]	X[3]		X
Locality Adjustment	X[9]		X[9]	X[9]	X[9]	X[9]		X[9]
Nature of Action (1)	X	X	X	X	X	X	X	X
Nature of Action (2)							X	X

[2] Required if nature of action is 803 and retirement plan is K, L, M, or N.

[3] May be blank if there is only one authority.

[6] Should be blank if retirement plan is other than C, E, K, L, M, or N.

[7] Required if education level is:
(a) 13 or higher, OR
(b) 06 or 10 and the employee was hired on or after 10/1/1993.

[8] Should be blank if NOA is 350, 355, or 840-848.

[9] Required if employee is eligible for the adjustment.

Figure C-2. Dynamics Data Element Requirements by Nature of Action
(continued)

Required Data Elements	When Nature of Action (1) Is:							
	1xx or 2xx	3xx or 4xx	5xx	6xx thru 8xx BUT NOT 815-19 825, 840-48 878-79	818-819	815-816, 825, 840-48, 878-79	001	002
Nature of Action Being Corrected								X[10]
Occupation	X		X	X	X	X		X
Organizational Component	X	X	X	X	X	X		X
Pay Basis	X		X	X	X	X		X
Pay Plan	X		X	X	X	X		X
Pay Rate Determinant	X		X	X	X	X		X
Personnel Office Identifier	X	X	X	X	X	X		X
Position Occupied	X	X	X	X	X	X		X
Previous Retirement Coverage	X[1]		X	X[2]				X
Prior Basic Pay		X	X	X	X			X
Prior Duty Station		X	X	X	X			X
Prior Grade, Level, Class, Rank, or Pay Band		X	X	X	X			X
Prior Locality Adjustment		X[9]	X[9]	X[9]	X[9]			X[9]

[1] May be blank if NOA is 2xx.

[2] Required if nature of action is 803 and retirement plan is K, L, M, or N.

[9] Required if employee is eligible for the adjustment.

[10] Required if nature of action on the original action is being corrected.

Figure C-2. Dynamics Data Element Requirements by Nature of Action
(continued)

Required Data Elements	When Nature of Action (1) Is:							
	1xx or 2xx	3xx or 4xx	5xx	6xx thru 8xx BUT NOT 815-19 825, 840-48 878-79	818-819	815-816, 825, 840-48, 878-79	001	002
Prior Occupation		X	X	X	X			X
Prior Pay Basis		X	X	X	X			X
Prior Pay Plan		X	X	X	X			X
Prior Pay Rate Determinant		X	X	X	X			X
Prior Step or Rate		X	X	X	X			X
Prior Work Schedule		X	X	X	X			X
Race or National Origin	X	X	X	X	X	X		X
Rating of Record (Level)	X	X	X	X	X	X		X
Rating of Record (Pattern)	X[11]	X[11]	X[11]	X[11]	X[11]	X[11]		X[11]
Rating of Record (Period)	X[12]	X[12]	X[12]	X[12]	X[12]	X[12]		X[12]
Retention Allowance	X[13]		X[13]	X[13]	X[13]	X[13]		X[13]
Retirement Plan	X	X	X	X	X	X		X
Service Computation Date	X	X	X	X	X	X		X
Sex	X	X	X	X	X	X		X
Social Security Number	X	X	X	X	X	X	X	X

[11] May be blank if rating of record (level) is other than 1-5.

[12] May be blank if rating of record (level) is other than 1-5, but must be blank if rating of record (level) is X.

[13] Required if employee receives the allowance or differential.

Figure C-2. Dynamics Data Element Requirements by Nature of Action
(continued)

Required Data Elements	When Nature of Action (1) Is:							
	1xx or 2xx	3xx or 4xx	5xx	6xx thru 8xx BUT NOT 815-19 825, 840-48 878-79	818-819	815-816, 825, 840-48, 878-79	001	002
Social Security Number Being Corrected								X[14]
Step or Rate	X		X	X	X	X		X
Supervisory Differential	X[13]		X[13]	X[13]	X[13]	X[13]		X[13]
Supervisory Status	X	X	X	X	X	X		X
Tenure	X	X	X	X	X	X		X
Veterans Preference	X	X	X	X	X	X		X
Veterans Status (Active Military Service)	X	X	X	X	X	X		X
Work Schedule	X		X	X	X	X		X
Year Degree or Certificate Attained	X[7]	X[7]	X[7]	X[7]	X[7]	X[7]		X[7]

[7] Required if education level is:
(a) 13 or higher, OR
(b) 06 or 10 and the employee was hired on or after 10/1/1993.

[13] Required if employee receives the allowance or differential.

[14] Required if social security number on original action is being corrected.

D. ORGANIZATIONAL COMPONENT TRANSLATIONS

1. General

a. Due Dates. The Organizational Component Translation file should be submitted semi-annually, as of March and September. The file should contain the organizational component codes used in the CPDF status records for the same period.

b. Translation Format. The record format is shown below.

Organizational Component Translation Record Format	
Record Position	Data
1-2	Agency (first two positions)
3-20	Organizational Component
21	Blank
22-200	Organizational Title

The file should:

(1) Be in hierarchical (major to minor) sequence based on record positions 1-20.

(2) Contain the codes and full organizational titles for each entry in the organizational component structure of the agency.

(a) The organizational component should be left-justified, with unused positions left blank.

(b) The organizational title should be left-justified, with unused positions left blank. However, the organizational title should be indented, as required, to show hierarchy. Hierarchy is represented by indenting the title 2 spaces to the right of the title of the organization to which it reports.

2. Quality Control

a. The Office of Personnel Management checks that the Organizational Component Translation file has a title for every organizational component code on the status file for the same quarter. The Office of Personnel Management also checks for Organizational Component Translation codes that are not used on any status records. Finally, the Office of Personnel Management checks that the status file populations for organization components identified by the Organizational Component Translation file are reasonable. The Office of Personnel Management standards are:

- a title for 95 percent or more of the organizational component codes on the status file and

- status file organizational components for which the Organizational Component Translation has a title for 97 percent or more of the agency's population.

b. Although the Office of Personnel Management checks for Organizational Component Translation codes that are not used on status, the agency practice of adding codes and titles to the Organizational Component Translation file for future use is acceptable. The Office of Personnel Management's objective is that agencies periodically purge the Organizational Component Translation file of obsolete codes and titles to reduce file size and processing costs.

c. The Office of Personnel Management will contact, for corrective action, agencies that do not meet Organizational Component Translation quality standards. Agencies should correct inaccurate and missing data with the next scheduled Status file or Organizational Component Translation file submission, as applicable.

E. TRANSMISSION REQUIREMENTS

1. General

Status, Dynamics, and Organizational Component Translation submissions may be transmitted on cartridges, diskettes, or electronically. Questions about transmission media should be sent to Ed Arold at etarold@opm.gov or Joan Austin at jcaustin@opm.gov.

2. Cartridge Specifications

a. Format. Submissions must be on 3480 18-track cartridges. They are to be recorded with IBM standard labels. Preferred sequence is by social security number within agency (first two positions of agency/subelement).

(1) Status records are 170 characters recorded in EBCDIC, unpacked with 192 records (32,640 characters) per block and odd parity.

(2) Dynamics records are 260 characters recorded in EBCDIC, unpacked with 126 records (32,760 characters) per block and odd parity.

(3) Organizational Component Translation records are 200 characters recorded in EBCDIC, unpacked with 150 records (30,000 characters) per block and odd parity.

b. Label. IBM Standard labels will be used. The data set identifier on the standard data set label 1 must be in the following format.

(1) Status. CPDF.STAT.AAYYMM, where CPDF.STAT is a literal identifying the cartridge as a CPDF Status submission; AA is replaced with the first two positions of the agency code of the submitting agency; and YYMM are the two digit year (01, 02, etc.) and two digit month (03, 06, 09, 12) of the submission.

(2) Dynamics. CPDF.DYN.AAYYMMN, where CPDF.DYN is a literal identifying the cartridge as a CPDF Dynamics submission; AA is replaced with the first two positions of the agency code of the submitting agency; and YYMM are the two digit year (01, 02, etc.) and two digit month (03, 06, 09, 12) of the submission; and N is numeric 1.

(3) Organizational Component Translations. CPDF.ORGN.AAYYMM, where CPDF.ORGN is a literal identifying the cartridge as a CPDF Organizational Component Translation submission; AA is replaced with the first two positions of the agency code of the submitting agency; and YYMM are the two digit year (01, 02, etc.) and two digit month (03 or 09) of the submission.

c. Transmittal. Mark each package plainly with the agency, address, and number of the specific package (e.g., package 1 of 1, package 1 of 2). Enclose one copy of the CPDF Transmittal Form with each package. The Transmittal Form is Office of Personnel Management Form 1101, Figure E-1. Mail the package to the address on the transmittal form. The transmittal form must include the number of records in the submission. The Office of Personnel Management will return the cartridges within 15 days after processing. Cartridges will be returned to the address shown at the top of the transmittal form unless the Remarks section directs otherwise. The return mailing address should also be placed on an external label on the cartridge itself.

3. Diskette Specifications

a. General. Agencies should use a 3 ½ inch, high density IBM PC or compatible diskette, with the data submitted as a ASCII (DOS) text file. Agency submissions must fit on a single diskette and the diskette must not contain multiple files (such as a Status file and a Dynamics file).

b. Submission Format. Each submission record must be a single record. (Note that WordPerfect's Text Out function will split the record into multiple records depending on the margins in effect. For example, if the WordPerfect margins are set to allow 80 characters on each line, the 170 character Status record will be written to the Text Out file as two 80 character records and a 10 character record.) Data compression routines may be used so long as the decompression routine is included on the diskette. The compression should be noted on the transmittal and on the diskette label. The instructions for using the decompression routine should be in a #README.DOC file on the diskette. If that is not possible, it should be noted on, or attached to, the transmittal form. File and diskette label information should also be included in the #README.DOC file, which is described under item "d" below (Label).

c. Transmittal. Mark each package plainly with the agency, address, and number of the specific package (e.g., package 1 of 1, package 1 of 2). Enclose one copy of the CPDF Transmittal Form with each package. The Transmittal Form is Office of Personnel Management Form 1101, Figure E-1. Mail the package to the address on the transmittal form. For appropriate diskette identification, a diskette number should be inserted in the reel number block on the transmittal form. Diskette numbers must be unique. The diskette number should start with the agency or agency/subelement code of the submitting agency, followed by a sequential diskette number of at least three characters(for example, OM-001 or DD15-001). Diskette numbers should not be reused.

d. Label. A label containing the following information must be attached to each diskette. This information should also be included in the #README.DOC file on the diskette.

- Submitting agency code
- Diskette (reel) number
- Submission month (i.e., the As Of month of the data)
- Agency's return address
- Compression routine, if any

4. Electronic Transmission Specifications

a. General. Central Personnel Data File submissions may be sent via the Internet to a public FTP site in OPM's Macon Service Center. Files must be transmitted in binary. Agencies must request authorization to use electronic transmission following the procedures in item 5 below (Establishing Electronic Transmissions). Only authorized users will be allowed access to OPM's public FTP site.

b. Encryption. Submissions must be encrypted using PGP (for more information, including available products, see http://www.pgp.com/). The submitting agency is responsible for procuring a copy of PGP software for its site.

c. Filename. Filenames will be edited for compliance with the established structure. If the name is not valid, processing will be delayed while OPM officials resolve the problem.

(1) The Status submission filename is SYYYYMM0AAAAN. The filename is constructed as follows:

- S is a literal identifying the file as a Status submission.

- YYYYMM represents the As Of date for the submission in year, month order (200103, 200106, 200109, 200112).

- 0 is a numeric zero, unless your submission contains only part of an agency's records. If that is the case, OPM will tell you what number to use.

- AAAA represents the agency code or agency/subelement code for the submitting agency. Since many agencies have more than one submitting point, OPM will verify the appropriate agency or agency/subelement code during the initial approval process.

- N is the resubmission indicator. On the first submission for each as of date, N is a numeric zero. If the data is resubmitted for the same as of date, the value of N is increased by 1. It is extremely important to identify each submission and resubmission uniquely. OPM's procedures will not allow transfer of a file if another file with the same name already exists on the public FTP site.

  For example: The filename for the Department of the Navy's original CPDF Status file as of March 2001 is S2001030NV0. The filename for Navy's first resubmission of the March 2001 CPDF Status file is S2001030NV1.

(2) The Dynamics submission filename is DYYYYMM1AAAAN. The filename is constructed as follows:

- D is a literal identifying the file as a Dynamics submission.

- YYYYMM represents the As Of date for the submission in year, month order (200109, 200110, 200111, 200112).

- 1 is a numeric one, unless your submission contains only part of an agency's records. If that is the case, OPM will tell you what number to use.

- AAAA represents the agency code or agency/subelement code for the submitting agency. Since many agencies have more than one submitting point, OPM will verify the appropriate agency or agency/subelement code during the initial approval process.

- N is the resubmission indicator. On the first submission for each as of date, N is a numeric zero. If the data is resubmitted for the same as of date, the value of N is increased by 1. It is extremely important to identify each submission and resubmission uniquely. OPM's procedures will not allow transfer of a file if another file with the same name already exists on the public FTP site.

For example: The filename for the Department of the Navy's original CPDF Dynamics file as of March 2001 is D2001031NV0. The filename for Navy's first resubmission of the March 2001 CPDF Dynamics file is D2001031NV1.

(3) The Organizational Component Translation (OCT) submission filename is OYYYYMM0AAAAN. The filename is constructed as follows:

- O is alphabetic and identifies the file as an OCT submission.

- YYYYMM represents the As Of date for the submission in year, month order (200103 or 200109).

- 0 is a numeric zero.

- AAAA represents the agency code or agency/subelement code for the submitting agency. Since many agencies have more than one submitting point, OPM will verify the appropriate agency or agency/subelement code during the initial approval process.

- N is the resubmission indicator. On the first submission for each as of date, N is a numeric zero. If the data is resubmitted for the same as of date, the value of N is increased by 1. It is extremely important to identify each submission and resubmission uniquely. OPM's procedures will not allow transfer of a file if another file with the same name already exists on the public FTP site.

  For example: The filename for the Department of the Navy's original OCT file as of March 2001 is O2001030NV0. The filename for Navy's first resubmission of the March 2001 CPDF Status file is O2001030NV1.

d. Transmittal. There is no paper transmittal form for electronic transmissions.

(1) When a Status file is transmitted, the agency official responsible for the transmission must send an email notification to CPDF_STATUS@OPM.GOV. The notification should include the filename and the record count. Following is an example of an email notification: CPDF Status file S2001120NV0 was transmitted today. The record count is 135,267.

(2) When a Dynamics file is transmitted, the agency official responsible for the transmission must send an email notification to CPDF_DYNAMICS@OPM.GOV. The notification should include the filename, the record count, and the dates covered by the file. If no dates are indicated, OPM will assume that the file covers the calendar month. OPM's quality control reports use the coverage dates to determine the timeliness of the data. Following is an example of an email notification: CPDF Dynamics file D2001121NV0 was transmitted today. The record count is 9,267. The file covers Nov. 21, 2001 thru Dec. 18, 2001.

(3) When an OCT file is transmitted, the agency official responsible for the transmission must send an email notification to CPDF_STATUS@OPM.GOV. The notification should include the filename. The record count may be included at the agency's option. Following is an example of an email notification: CPDF OCT file O2001090NV0 was transmitted today.

5. Establishing Electronic Transmissions

a. Request. Agencies may request authorization to transmit their CPDF data electronically by sending an email to CPDF@opm.gov. The request must include:

- The submitting agency or office name. If the office submits only a portion of an agency, identify that portion (e.g., organization, group of employees) as well as the agency.

- A list of all the agencies or offices to be covered. This is necessary only if the data being submitted will cover more than the submitting agency or office.

- Which CPDF files will be transmitted electronically (Status, Dynamics, Organizational Component Translations). Agencies are encouraged to send all CPDF files electronically and to submit a single request covering all three types of files.

- The name, phone number, and email address for the principal agency contact(s). The contacts are those who will be responsible for the transmission process.

- Date the agency will be ready to test and the As Of dates of the test files. For example: Agency X is ready to begin testing on August 1 using the June Status and Dynamics files.

b. Testing. Parallel testing is required before agencies can begin regular electronic transmission. Test files must be exact copies of the regular CPDF submissions, i.e., files that were or are being submitted on cartridge or diskette. At each stage, OPM will work with the agency contact to resolve any problems. Testing follows the steps listed below.

- Confirm schedule. OPM's Office of Workforce Information will coordinate the test schedule among the agency contact(s) and the various OPM offices. By email, OPM will confirm the test schedule and verify the appropriate filenames.

- Provide specific instructions. OPM's Macon Service Center will give the agency contact(s) specific instructions including the user-id, password, directory information, and instructions for downloading to the OPM public FTP site.

- Submit test data. The agency contact(s) will transmit the CPDF test files and email the required transmittal notice(s).

- Compare test data. OPM will compare each field on the test file against the data submitted on cartridge or diskette.

- Evaluate results. Successful testing requires timely receipt of the email transmittal(s) and a 100% match between the test and operational files. Testing may be repeated if necessary.

c. Beginning Operations. When the testing has been completed successfully, OPM and the agency contact(s) will establish a date for switching to electronic transmission. Until that date, the agency must continue to submit all required files on cartridge or diskette.

Figure E-1. CPDF Transmittal Form

CPDF TRANSMITTAL FORM (check one only)

❑ **ORGANIZATIONAL COMPONENT TRANSLATION----->Quarter ending** *(mm/dd/yy)* _____

❑ **STATUS DATA----->Period ending date** *(mm/dd/yy)* _____

❑ **DYNAMICS DATA----->Processing period from** *(mm/dd/yy)* _____ **to** *(mm/dd/yy)* _____

To:	From (cartridge will be returned to this address):
U.S. Office of Personnel Management Washington Data Processing Center 1900 E St., NW, Room BH04 Washington, DC 20415-6000 Attn: Washington Tape Library - CPDF	

I. Servicing Agency Code:

Submission Content

Reel Number	Records

II. Split Shipment

This container holds _____ of _____ reels

III. Submission Status (check one)

❑ Original Submission ❑ Resubmission

IV. Specifications

❑ Cartridge ❑ Diskette ❑ Labeled ❑ Unlabeled

V. Remarks

VI. Submission ID (*for OPM use only*)

Information Contact

(Refer any questions about this submission to the following person.)

Name and Title	Telephone Number

Certification

I CERTIFY that all required editing has been performed on this submission.

Signature	Date
Title	Telephone Number

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F. CPDF ERROR FILE

The CPDF Error File lists each record that failed a CPDF edit. The record, as submitted, is followed by error codes identifying the specific edits that were failed. The error codes correspond to the edit numbers shown in The Guide to Central Personnel Data File Edits, which is available online at http://www.opm.gov/feddata/guidance.htm. The File is available on 18-track cartridge (plus hardcopy for Dynamics) and is produced by request only. Agencies should direct their requests via email to owi@opm.gov.

Figure F-1 shows the CPDF Error File format. The Error File format is the same for both Status and Dynamics records. Data elements common to both Status and Dynamics submissions are shown first, followed by Status only data elements, and then Dynamics only data elements. When the file is for a Status submission, the Dynamics only data elements are blank. When the file is for a Dynamics submission, the Status only data elements are blank. Unless otherwise noted, the data element definitions can be found in The Guide to Personnel Data Standards, which is available online at http://www.opm.gov/feddata/guidance.htm.

Figure F-1. CPDF Error File Format

Record Position	Data Element
1	Submission Type[1]
2-5	Blank
6-9	Personnel Office Identifier
10-13	Agency/Subelement
14-36	Employee Name
37-45	Social Security Number
46-53	As Of Date (YYYYMM)[2] or Effective Date of Personnel Action (YYYYMMDD)[3]
54-58	Blank
59-64	Instructional Program
65-70	Basic Pay
71-74	Creditable Military Service (YYMM)
75-77	Current Appointment Authority (1)
78-80	Current Appointment Authority (2)
81-86	Date of Birth (YYYYMM)
87-95	Duty Station
96-97	Education Level
98-101	Frozen Service (YYMM)
102-103	Grade, Level, Class, Rank, or Pay Band
104-105	Handicap
106-110	Locality Adjustment

[1] Status submission is an "S". Dynamics submission is a "D".

[2] Applicable to Status only.

[3] Applicable to Dynamics only.

Figure F-1. CPDF Error File Format
(continued)

Record Position	Data Element
111-114	Occupation
115-132	Organizational Component
133-134	Pay Basis
135-136	Pay Plan
137	Pay Rate Determinant
138	Position Occupied
139	Race or National Origin
140	Rating of Record (Level)
141	Rating of Record (Pattern)
142-147	Rating of Record (Period) (YYYYMM)
148-152	Retention Allowance
153	Retirement Plan
154-159	Service Computation Date (Leave) (YYYYMM)
160	Sex
161-165	Blank
166-167	Step
168-172	Supervisory Differential
173	Supervisory Status
174	Tenure
175	Veterans Preference
176	Veterans Status
177	Work Schedule
178-179	Locality Pay Area
180-183	Year Degree or Certificate Attained (YYYY)
184-185	Blank
186	Annuitant Indicator[2]
187-190	Bargaining Unit[2]
191	Blank

[2] Applicable to Status only.

Figure F-1. CPDF Error File Format
(continued)

Record Position	Data Element
192	FERS (Federal Employees' Retirement System) Coverage[2]
193	FLSA (Fair Labor Standards Act) Category[2]
194-195	Functional Classification[2]
196-197	Federal Employees' Group Life Insurance[2]
198-200	Health Plan[2]
201	Pay Status[2]
202-203	Retained Grade[2]
204-205	Retained Pay Plan[2]
206-207	Retained Step[2]
208-211	Special Pay Table Identifier[2]
212	U.S. Citizenship[2]
213-217	Blank
218-227	Reserved for OPM use.[6]
228-232	Award Amount[3]
233-244	Blank
245-247	Legal Authority (1)[3]
248-250	Legal Authority (2)[3]

[2] Applicable to Status only.

[3] Applicable to Dynamics only.

[6] OPM uses this field to code each edit failure as an "E" or a "W". Records with all W's are not included in the count of records with errors on CPDF quality control reports.

Figure F-1. CPDF Error File Format
(continued)

Record Position	Data Element
251-253	Nature of Action[3, 4]
254	Previous Retirement Coverage[3]
255-260	Prior Basic Pay[3]
261-269	Prior Duty Station[3]
270-271	Prior Grade, Level, Class, Rank, or Pay Band[3]
272-276	Prior Locality Adjustment[3]
277-280	Prior Occupation[3]
281-282	Prior Pay Basis[3]
283-284	Prior Pay Plan[3]

[3] Applicable to Dynamics only.

[4] (a) If NOA(1) in the input record is other than code 001 (cancellation) or code 002 (correction), Nature of Action in the Error File record has the same value as NOA(1) in the input record. Nature of Action Cancellation/Correction in the Error File record is blank.

(b) If NOA(1) in the input record is code 001 (cancellation), Nature of Action in the Error File record has the same value as NOA(2) in the input record. Nature of Action Cancellation/Correction in the Error File record has the same value as NOA(1) in the input record (code 001).

(c) If NOA(1) on the input record is code 002 (correction), Nature of Action in the Error File record has the same value as NOA(2) in the input record. Nature of Action Cancellation/Correction in the Error File record has the same value as NOA(1) in the input record (code 002).

Figure F-1. CPDF Error File Format
(continued)

Record Position	Data Element
285	Prior Pay Rate Determinant[3]
286-287	Prior Step[3]
288	Prior Work Schedule[3]
289-294	Production Date (YYYYMM)[5]
295-296	Prior Locality Pay Area
297-305	Blank
306-308	Nature of Action Being Corrected[3]
309-316	Effective Date of Personnel Action Being Corrected (YYYYMMDD)[3]
317-319	Nature of Action Cancellation/Correction[3, 4]
320-328	Social Security Number Being Corrected[3]
329-330	Blank

[3] Applicable to Dynamics only.

[4] (a) If NOA(1) in the input record is other than code 001 (cancellation) or code 002 (correction), Nature of Action in the Error File record has the same value as NOA(1) in the input record. Nature of Action Cancellation/Correction in the Error File record is blank.

(b) If NOA(1) in the input record is code 001 (cancellation), Nature of Action in the Error File record has the same value as NOA(2) in the input record. Nature of Action Cancellation/Correction in the Error File record has the same value as NOA(1) in the input record (code 001).

(c) If NOA(1) on the input record is code 002 (correction), Nature of Action in the Error File record has the same value as NOA(2) in the input record. Nature of Action Cancellation/Correction in the Error File record has the same value as NOA(1) in the input record (code 002).

[5] The Production Date is the ending date of the Dynamics File reporting period for which an agency submitted a record.

Figure F-1. CPDF Error File Format
(continued)

Record Position	Data Element
331-336	Error Code (1)
337-342	Error Code (2)
343-348	Error Code (3)
349-354	Error Code (4)
355-360	Error Code (5)
361-366	Error Code (6)
367-372	Error Code (7)
373-378	Error Code (8)
379-384	Error Code (9)
385-390	Error Code (10)

G. PERSONNEL OFFICE IDENTIFIER

1. General

a. POI Definition. A Personnel Office Identifier (POI) is a number assigned by the Office of Personnel Management to a Federal civilian personnel office authorized to appoint and separate employees and, to the extent such functions have been delegated, prepare personnel actions, maintain official personnel records, and administer programs for staff compensation, training and development, benefits and awards, and employee/labor relations.

b. Use of Data. The Office of Personnel Management maintains a file of official personnel offices containing the mailing addresses and names and telephone numbers of responsible officials. Personnel throughout the Federal Government may use this file to contact personnel offices on matters concerning official personnel documents. Researchers and analysts at the General Accounting Office, Merit Systems Protection Board, Office of Personnel Management and other agencies use the file to expedite the distribution of employee surveys and to perform other studies and analysis using the CPDF data. Therefore, it is important that the agencies keep address and contact data current and promptly report any new or terminated personnel offices to the CPDF.

2. Reporting Requirements

a. The Office of Personnel Management Form 1396 (Request to Establish or Discontinue a Personnel Office Identifier, or To Change POI Information) (Figure G-1) should be completed and submitted by departmental or independent agency headquarters when:

(1) New personnel offices are established.

(2) Personnel offices are discontinued.

(3) Changes are made to any of the requested information on the Form, including:

- mailing address of the personnel office,
- name or telephone number of the personnel officer, or
- name or telephone number of the contact for employee surveys.

b. The Form should be locally reproduced. The POI information may also be submitted via email to Randall Matke at rtmatke@opm.gov.

c. The Office of Personnel Management notifies agencies via fax when the requested action has been taken.

Figure G-1. Request to Establish or Discontinue a Personnel Office Identifier, or to Change POI Information

TO: U.S. OFFICE OF PERSONNEL MANAGEMENT OFFICE OF WORKFORCE INFORMATION 1900 E STREET NW, Room 7439 WASHINGTON, DC 20415-6000	FROM:

INSTRUCTIONS

1. To ESTABLISH a Personnel Office Identifier (POI), complete all items except item 2.
   To DISCONTINUE a POI, complete items 1-4, 8-9, and 12-14.
   To CHANGE POI address, complete all items.
   To change a CONTACT NAME, PERSONNEL OFFICER or TELEPHONE NUMBER, complete items 1-7, 12, and the changed item(s).
2. Action codes for use in item 3 are: E = Establish a POI
   D = Discontinue a POI
   C = Change a POI
   N = Change a Contact Name, Personnel Officer or Telephone Number
3. Completed forms may be FAXED to 202-606-1719, Attn: CPDF.

1. Agency/Subelement Code	2. POI	3. Action Code	4. Effective Date (Month/Year)

5. Name and Mailing Address of Office (Name of Department or Independent Agency must be shown)

	ASP (OPM Use)

6. Zip Code (9 digits)	7. Duty Station Code of the Personnel Office

8. Name of the Personnel Officer or Head of Office	9. Phone Number (with whatever applies International/ Country Codes, Area Code, Number, or Extension)

10. Name of the Contact For Employee Surveys (if different than item 8)	11. Phone Number (with whatever applies international/ Country Codes, Area Code, Number, or Extension)

12. Signature of the Person Submitting This Form	13. Typed Name and Title of Submitter	14. Date Signed

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OPM Form 1396
(Rev 6/01)

H. SUMMARY OF CHANGES

SECTION	EXPLANATION
(general)	Updates the cover and page headers to show Update 11, dated January 2003.
E. Transmission Requirements	Page 49. Replaces item 4b (Encryption) with: b. Encryption. Submissions must be encrypted using PGP (for more information, including available products, see http://www.pgp.com/). The submitting agency is responsible for procuring a copy of PGP software for its site. Page 54, changes the email address in item 5a (Request) from owi@opm.gov to CPDF@opm.gov. Page 54, under item 5a, deletes the bullet that reads "Encryption method." Page 55. Deletes item "d. Changing Encryption Methods."