Operating Manual

The Guide to Central Personnel Data File Reporting Requirements

(Through Update 21, April 12, 2004)

THE GUIDE TO CENTRAL PERSONNEL DATA FILE REPORTING REQUIREMENTS
(Update 21, 4/12/04)

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THE GUIDE TO CENTRAL PERSONNEL DATA FILE REPORTING REQUIREMENTS (Update 21, 4/12/04)

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.asp.

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 Geospatial-Intelligence 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, Department of Homeland Security, 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.asp) 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.asp.)

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 History	Organizational Component Translations
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 History	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.

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

Enterprise Human Resources Integration (EHRI) Data Elements

Data Element	Status	Dynamics	Longi-tudinal History	Organizational Component Translations
Award Dollars		X		
Award Hours		X		
Award Percent		X		
Name Family	X	X		
Name Given	X	X		
Name Middle	X	X		
Name Suffix	X	X		
Position Title Description	X	X		
Service Computation Date (Reduction in Force)	X	X		
Service Computation Date (Retirement)	X	X		

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.asp. 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.asp. 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. 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.asp.)

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

Figure B-1. Status Record Format
(continued)

Enterprise Human Resources Integration (EHRI) Data Elements

Record Position	Number of Positions	Data Element
171-205	35	Name Family
206-240	35	Name Given
241-275	35	Name Middle
276-279	4	Name Suffix
280-339	60	Position Title Description
340-347	8	Service Computation Date (Retirement) (YYYYMMDD)
348-355	8	Service Computation Date (Reduction in Force) (YYYYMMDD)
356-400	45	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.asp. 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. 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.

c. 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.asp. 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.asp.)

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-1. Dynamics Record Format
(continued)

Enterprise Human Resources Integration (EHRI) Data Elements

Record Position	Number of Positions	Data Element
261-296	35	Name Family
296-330	35	Name Given
331-365	35	Name Middle
366-369	4	Name Suffix
370-429	60	Position Title Description
430-438	9	Award Dollars
439-447	9	Award Hours
448-456	9	Award Percent
457-464	8	Service Computation Date (Retirement) (YYYYMMDD)
465-472	8	Service Computation Date (Reduction in Force) (YYYYMMDD)
474-520	48	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.asp.)

Required Data Elements	When Nature of Action (1) Is:								
	1xx or 2xx	3xx or 4xx	5xx	6xx thru 8xx BUT NOT 815-819, 825-827, 840-849, 878-879	817	818-819	815-816, 825-827, 840-849, 878-879	001	002
Agency/Subelement	X	X	X	X	X	X	X	X	X
Award Amount					X	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	X
Effective Date of Personnel Action Being Corrected									X[5]

[1] May be blank if nature of action 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 815-819, 825-827, 840-849, 878-879	817	818-819	815-816, 825-827 840-849, 878-879	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	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 nature of action is 350, 355, 817, 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 815-819, 825-827, 840-849, 878-879	817	818-819	815-816, 825-827, 840-849 878-879	001	002
Nature of Action Being Corrected									X[10]
Occupation	X		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 nature of action 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 815-819, 825-827 840-849, 878-879	817	818-819	815-816, 825-827 840-849, 878-879	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 (Leave)	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	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 815-819, 825-827, 840-849 878-879	817	818-819	815-816, 825-827, 840-849, 878-879	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.

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

Enterprise Human Resources Integration (EHRI) Data Elements

Required Data Elements	When Nature of Action (1) Is:								
	1xx or 2xx	3xx or 4xx	5xx	6xx thru 8xx BUT NOT 815-819, 825-827, 840-849 878-879	817	818-819	815-816, 825-827, 840-849, 878-879	001	002
Award Dollars					X	X	X		X
Award Hours					X	X	X		X
Award Percent					X	X	X		X
Name Family	X	X	X	X		X	X		X
Name Given	X	X	X	X		X	X		X
Name Middle	X	X	X	X		X	X		X
Name Suffix	X	X	X	X		X	X		X
Position Title Description	X		X	X	X	X	X		X
Service Computation Date (Reduction in Force)	X	X	X	X		X	X		X
Service Computation Date (Retirement)	X	X	X	X		X	X		X

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. Connect:Direct Electronic Transmission

1) General

a. Connect:Direct. Connect:Direct (a method of electronic data transmission) is the OPM standard for sending and receiving data. The first step in conversion to the Connect:Direct electronic transmission of CPDF Status, Dynamics, and Organizational Component Translation submissions is to provide contact and platform information to OPM's Data Exchange Coordinator (Mary Heck at mary.heck@opm.gov) on the OPM Telecommunications Questionnaire (Figure E-2).

b. Testing. Parallel testing is required before agencies can begin regular electronic transmissions. Test files must be exact copies of the regular CPDF submissions (e.g., cartridge, diskette, or non-Connect:Direct electronic transmission). At each stage, OPM will work with the agency contact to resolve any problems.

c. Beginning Operations. When testing has been successfully completed, OPM and the agency contact will establish a date for switching to Connect:Direct electronic transmission. Until that date, the agency must continue to submit all required files via the method previously used.

2) Connect:Direct Electronic Transmission Specifications

a. General. Connect:Direct supports automated 24x7 unattended operations, interfaces to existing security solutions, assures reliable data delivery with extensive recovery features and alert notifications, and supports a wide range of computer platforms. Connect:Direct options comprise:

- Connect:Direct with Secure+ and digital certificate which allows for transfer over the Internet using Secure Sockets Layer (SSL) technology for data encryption and providing strong mutual authentication. This option supports high-volume data exchanges. The cost varies depending on the computer platform.

- Connect:Direct using an existing connection to OPM. If an agency is using another agency in an outsourcing capacity, then the servicing agency may already have a relationship with OPM. This option supports a volume of data related to the capacity of the connecting line.

- Connect:Direct FTP+ looks like secure FTP, having both a graphical interface and a command line interface, and supports the complete FTP command set. It operates like a FTP client, and must initiate all send and receive operations with the OPM Connect:Direct server. This option is targeted to agencies with low budgets, with OPM supplying the FTP+ software, and digital certificate. The agency would need to have a Windows 2000 or NT workstation, access to the Internet, an Internet registered IP address, and Port 1364 opened on the firewall.

b. Filenames. 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. The Connect:Direct filenames are structured for a mainframe platform with multiple level qualifiers separated by a period, as shown below.

(1) The first level qualifier consists of six characters CPDSAP (Central Personnel Data System Admin Production).

(2) The second level qualifier consists of the characters AUTSUB (Automated Submission).

(3) The third level qualifier designates the purpose and date of the file. The format is XYYYYMMQ, where:

- X can be S, D, or O to identify the file as a Status, Dynamics, or Organizational Component Translation file, respectively.

- YYYYMM represents the As Of date for the submission in year, month order (e.g., 200401, 200402, 200403).

- Q is a numeric zero for a Status or Organizational Component Translation submission, or the number one for a Dynamics submission (unless the submission contains only part of an agency's records). In which case, OPM will designate the number to use.

(4) The fourth level qualifier designates the agency code and submission indicator. The format is AAAAN, where:

- 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.

For example:

- The filename for the Department of the Navy's original CPDF Dynamics file as of March 2004 is:
  CPDSAP.AUTSUB.D2004031.NV0

- The filename for Navy's first resubmission of the March 2004 CPDF Dynamics file is:
  CPDSAP.AUTSUB.D2004031.NV1

c. Transmittal. Each submission must be sent separately; do not place more than one file in a single submission. There is no paper transmittal form for electronic transmissions; email notifications are to be sent instead.

(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 CPDSAP.AUTSUB.S2004030.NV0 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 CPDSAP.AUTSUB.D2004031.NV0 was transmitted today. The record count is 9,267. The file covers Feb. 21, 2004 thru Mar. 18, 2004.

(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 CPDSAP.AUTSUB.O2004030.NV0 was transmitted today.

2. Nonstandard Transmission

Until conversion is made to Connect:Direct, agencies must continue to submit all required files via the method previously used (e.g., cartridge, diskette, or non-Connect:Direct electronic transmission).

1) 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.

2) Diskette Specifications

a. General. Agencies should use a 3½ 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

3) Non-Connect:Direct 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. Only authorized users will be allowed access to OPM's public FTP site. Files must be transmitted in binary, and submissions must be encrypted using PGP.

b. Filenames. Filenames will be edited for compliance with the established structure, as shown below. 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.

Figure E-1. CPDF Transmittal Form

CPDF TRANSMITTAL FORM (check one only)

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

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

G **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	Agency(ies) included (e.g., AB, DZ, CM10)

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

U.S. Office of Personnel Management
AUTHORIZED FOR LOCAL REPRODUCTION

OPM Form 1101
(Rev 6/01)

Figure E-2. OPM Telecommunications Questionnaire

OPM Telecommunications Questionnaire

A. Contact Information

1. Agency
   a. Agency Name: _____
   b. Location: _____
   c. Time Zone (Eastern, Central, Mountain, Pacific, etc.) _____

2. Who will submit the files? _____

3. Where will the files be sent from? _____

4. Customer Help Desk Names: _____
   Phone Number: _____
   Email Address: _____

5. Customer Network Contact: _____
   Phone Number: _____
   Email Address: _____

6. Customer Network Administrator: _____
   Phone Number: _____
   Email Address: _____

7. Customer Network Security Officer: _____
   Phone Number: _____
   Email Address: _____

8. Customer Programmer/Database Administrator: _____
   Phone Number: _____
   Email Address: _____

9. Other Customer Contacts
   Name: _____
   Phone Number: _____
   Email Address: _____
   Organization: _____
   Name: _____
   Phone Number: _____
   Email Address: _____
   Organization: _____

Figure E-2. OPM Telecommunications Questionnaire
(continued)

(2)
OPM Telecommunications Questionnaire

B. Technical Information

1. Type of PC or Mainframe: _____

2. Host Type (MVS, NT, etc.): _____

3. If PC, can it currently access the Internet (Yes/No)? _____
   Operating System of PC: _____

4. Do you have Connect:Direct software (Yes/No)? _____
   a. If so, do you have Connect:Direct Secure+ (Yes/No) _____
   b. Userids used to transmit data to OPM: _____ _____ _____ _____
   c. Customer Node Name: _____
   d. Connect:Direct Process Names: _____

5. Connection Type (SNA, LU6.2, TCP/IP, etc.): _____
   a. If SNA or LU6.2:
      VTAM NETID = _____
      APPLID = _____
      VTAM CPNAME = _____
      CDRM = _____
      NCP Lines (if any): _____

   b. If TCP/IP:
      IP Address = _____
      DSN Name = _____
      Port Name = _____

6. Is there a firewall (Yes/No)? _____
   If so, does it allow Port 1364 for Connect:Direct (Yes/No)? _____

7. Is there a dedicated circuit to OPM (Yes/No)? _____
   a. Speed of network connection: _____
   b. If no dedicated circuit, is there Internet access (Yes/No)? _____
   c. Type of file transfer desired (PC/Mainframe): _____

F. QUALITY CONTROL AND ERROR CORRECTION

1. General

As an aid to improving CPDF submissions, OPM makes information resulting from processing CPDF submissions available to agencies in the form of quality control reports and error files for each Status and Dynamics submission. Formatted error reports are also produced from Dynamics error files. In addition, OPM provides a semi-annual Data Quality Composite (also known as an "agency report card") with quality information covering several submissions.

All of this information is targeted to become available to agencies via electronic means (that is, via the Internet) in FY 2003; much of it is available electronically now. The descriptions of each file/report below contain specifics about forms of availability. In brief, electronically availability means an email containing links to a website containing the file or reports is sent when each submission is processed. An OPM-assigned userid and password protects access to the information. Send inquires about electronic availability, and requests to receive this information electronically, to CPDF@opm.gov.

2. Quality Control Reports

These reports are particularly useful to submitters in monitoring their submission process. Deviations from previous norms should be carefully analyzed because they typically indicate that issues have arisen in the system that gathers and sends CPDF data from the agency to OPM. Three quality control reports are produced for each agency in a submission: the specifics of the reports are different for Dynamics and Status submissions. These reports are currently available to agencies as paper reports. Availability via electronic means is targeted for FY 2003.

a. Dynamics Submissions

(1) Dynamics Submission Quality Control Report (Figure F-3) is a two page summary report with three sections:

(a) Section A (Errors by Record) shows the number and percentage of records:

- Submitted (with breakouts for):

  - Duplicates (i.e., records matching on Agency Code, Social Security Number, Nature of Action, and Effective Date)

  - Records Cancelled (the number of records cancelled by your agency)

  - Corrections Cancelled (the number of corrections cancelled by your agency)

  - Records Corrected (the number of records corrected by your agency; e.g., the original action and the NOA 002 action correcting it were both processed within the same submission)

  - Generated Cancellations (the number of cancellation actions generated by CPDF when data is present in the “Control Field Correction” fields in record positions 190–209 of the Dynamics record format in Figure C-1)

- Edited ("submitted records" minus "duplicate records", "records cancelled", "corrections cancelled", and "records corrected", plus "generated cancellations"; also equal to "records accepted" plus "records with fatal errors")

- With errors (including "records with fatal errors")

- With fatal errors (records rejected due to errors in Agency Code, Social Security Number, Nature of Action, or Effective Date). NOTE: If the number of records rejected is 50% or greater than the number of records edited, a ***REJECTED*** message will be shown to the right of this line. The presence of this message indicates that the entire submission is rejected and a corrected resubmission is required.

- Accepted ("records edited" minus "records with fatal errors")

- Containing all required data ("records accepted" minus ("records with errors" minus "records with fatal errors"))

(b) Section B (Errors by Data Element) shows all data elements for which the "invalid rate" is greater than or equal to 1%. The data elements are listed in descending order based on the number of invalids in the submission. This pinpoints the data elements that failed one or more edits. This, used in conjunction with Section C (Most Frequent Errors by Error Code) helps explain the problems areas and determine the criticality of the errors in the submission.

(c) Section C (Most Frequent Errors by Error Code) shows the 20 most frequently occurring error codes and (on the second page) the 5 most frequent error codes within each of the basic NOA groups. For each error code shown, a count of the number of occurrences of the error is shown, along with percentages reflecting error rates (compared to all records edited in the agency submission). If more than 20 different errors are detected in the agency submission, the excess errors are combined in an "Others" category listed before the count of total errors.

(2) Dynamics Volume and Currency Report (Figure F-4) is a one page summary report showing volume and currency (the number and percentage) of records submitted by NOA group. Currency is defined differently for Status and Dynamics submissions. Current for Dynamics is defined as the percentage of records within a submission whose effective dates fall within the dates of coverage of the submission. Current for Status is defined as the date that the submission that was actually used in the released file was received. More simply, for Dynamics it is "currency of the ACTIONS within a month", as opposed to "currency of the SUBMISSION" for Status. To determine the dates of coverage for a given report, look at the "Submission Period" on this report. An action is counted as "Current" if its effective date falls within those dates; if it is less than 30 days earlier than the beginning date, it is counted as "1-30 days late"; if between 31-60 days earlier, it is counted as "31-60 days late", etc.

(3) Dynamics Overview Report (Figure F-5) is a two page summary report showing the number of records, valid and invalid (number and percentage), by data element and NOA group.

b. Status Submissions

(1) Status Submission Quality Control Report (Figure F-6) is a one page summary report with three sections:

(a) Section A (Errors by Record) shows the number and percentage of records:

- Submitted (with breakouts for:

  - Duplicates (i.e., records matching on Agency Code, Social Security Number, Nature of Action, and Effective Date)

  - Edited ("submitted records" minus "duplicate records")

  - With errors (including "errors in critical fields")

  - With errors in critical fields (records with errors in 23 high-use data elements). NOTE: If this number is more than 3% of the records submitted (or 5% for agencies with fewer than 1,000 employees), a ***REJECTED*** message is shown to the right of this line. The presence of this message indicates that the entire submission is rejected and a corrected resubmission is required.) In special circumstances OPM may, in consultation with the agency, wave this requirement for a resubmission. More frequently, even if no ***REJECTED*** message is shown, OPM may require a resubmission if the overall error rate for all data elements is excessive.

(b) Section B (Errors by Data Element (Active Employees)), shows all data elements for which the "invalid rate" is greater than or equal to 1.5% (critical data elements are so annotated). The data elements are listed in descending order based on the number of invalids in the submission. These data are also provided for the data elements listed in this section: "Total Number of Data Elements", "Number of Data Elements Valid on More Than 98.5% of Records", "Number of Data Elements with Errors on More Than 1.5% of Records". The information in this section pinpoints the data elements that failed one or more edits. This, used in conjunction with Section C (Most Frequent Errors by Error Code) helps explain the problems areas and determine the criticality of the errors in the submission.

(c) Section C (Ten Most Frequent Errors by Error Code) shows the 10 most frequently occurring error codes. For each error code shown, a count of the number of occurrences of the error is shown, along with percentages reflecting error rates (compared to all records edited in the agency submission). If more than 10 different errors are detected in the agency submission, the excess errors are combined in an "Others" category listed before the count of total errors.

Warning Messages. Failure of some edits listed in this section result in warning messages instead of rejection of data. Such failures are not listed in Section B (Errors by Data Element), nor are they counted in the Data Quality Composite. Warning messages are used when submitted data is highly suspect, but not necessarily incorrect based on the information available. All edit failures should be carefully analyzed to confirm the accuracy of the suspect data, and appropriate corrective action (including correction in the next submission) should be taken if the data are incorrect.

(2) CPDF Overview Report – Unreleased Status File (Figure F-7) is a two page summary report showing the number of records, valid and invalid (number and percentage), submitted by code or code grouping within data elements. In addition, at the end of this report, "Summary Counts" are provided for the critical data elements.

3. CPDF Errors

Often editing CPDF submissions produces edit failures (also know as "CPDF errors"). These files/reports are particularly useful to submitters in detecting systemic problems with their CPDF submission process. In addition, for Dynamics submissions, errors in individual transactions are identified. This permits detailed analyses of error causes and also supports individual transaction error correction.

These CPDF errors are available to agencies in several forms. Error files are available on 18-track cartridge tape and electronically (as plain text files). For Dynamics submissions only, formatted reports produced from the error files are available on paper and electronically (formatted as plain text, html, and pdf files). Non-electronic error files and reports are being eliminated.

a. Error Files

These files can aid detection of systemic problems with the CPDF submission process, as well as (for Dynamics submissions) individual transaction error correction. 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.asp.

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, available online at http://www.opm.gov/feddata/guidance.asp.

b. Error Reports

Agencies often find these reports useful for distribution to operating personnel offices to support error correction of individual transactions. Error reports are produced for Dynamics submissions only.

Error reports (also know as "error listings", see Figure F-2) contain exactly the same information as error files, however, the information is formatted to enhance readability for humans. Each record that fails one or more edits is listed alphabetically by name on the error report. Each record is printed out on three lines under abbreviations for each data element, starting with the data element NAME. Each three-line record is followed by a fourth line titled ERROR CODES which lists the numbers of the edits failed by the record.

c. Error Correction

If the overall quality of a submission is poor, OPM will request a corrected resubmission to replace the original submission. This is a rare event and indicative of serious problems with an agency's CPDF submission process.

For Dynamics submissions, an agency should analyze its individual transaction errors and include corrected transactions in its next Dynamics submission. To begin the analysis, look up the error code in the Guide to CPDF Edits (available online at http://www.opm.gov/feddata/guidance.asp). Then, examine the data for the data elements tested by the edit and identify the data that is 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 (available online at http://www.opm.gov/feddata/persdoc.asp). Such corrections should flow through the agency personnel system to CPDF as a part of routine processing.

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

- If the data is now correct, determine why the data was different when it was sent to CPDF:

  - The data was previously incorrect and was corrected either using the procedures described in the Guide to Processing Personnel Actions or the procedures specific to the agency data system. Such corrections should flow through the agency personnel system to CPDF as a part of routine processing. In these cases, no further action is required.

  - If the data has been correct all along, then the incorrect data sent to CPDF is likely to be the result of a systematic problem introduced as the data flows through the path from the OPF/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 to the Office of Personnel Management (OPM) of the entire month's Dynamics record submission(s). (The original submission containing the incorrect data is discarded by OPM, and the newly corrected resubmission is used in its place.)

4. Data Quality Composite

The semi-annual Data Quality Composite (also known as an "agency report card") is sent to the Assistant Secretary level of the 23 largest agencies to provide a longitudinal measure of CPDF data submission quality and timeliness. The Data Quality Composite includes: a graph showing the agency's scores for each of the past five quarters, a graph comparing the agency's scores for the period against those of the 22 other large agencies, a table displaying scores for each quarter on the individual data quality/timeliness measures making up the composite agency score, and a detailed explanation of each measure. All of the data comprising the Data Quality Composite is also presented in tables on the OPM website under the heading "Agency Rankings" at http://www.opm.gov/feddata/guidance.asp.

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)

Figure F-2. CPDF Dynamics Submission Error Listing

```
CPA6000C
                                   U.S.  OFFICE  OF  PERSONNEL  MANAGEMENT
                                        CENTRAL  PERSONNEL  DATA  FILE
                                  CPDF  DYNAMICS  SUBMISSION  ERROR  LISTING

PERSONNEL OFFICE IDENTIFIER:  9999                    SUBMISSION ID: D2002111XX990                      SUBMISSION FOR: 11/2002
AGENCY:  XX99                                                                                              RUN DATE: 12/24/2002

NAME         SSN      DOB   NOA AUTH1 AUTH2 CAA1 CAA2 TEN POS SPV  LPA DUTY-STA   PAYPLAN  OCCU  GRADE STEP   BASPAY   PB  PRD  WS
DEER,JANE123-45-6789 011958 879  VWK        V2M  V2M   0   4   2   80  511001059     ES    0301    00   04             PA   0   F

VET VEV  SCD   EFF-DATE  HCP SEX RNO        RET  MIL I/GA BEN-AMT PLPA PDUTY-STA PPAYPLAN POCCU PGRADE PSTEP PBASPAY  PPB PPRD PWS
 1   N  198512 20021103  05   F   B          1                     80  511001059     ES    0301    00   04    129800   PA   0   F

RETENT SUPER-DIF AWARD PRV-RET FROZEN-SVC INSTPG YRDG ED LOC-ADJ      PLOC-ADJ RAT-LEV RAT-PAT RAT-PED  ORG-COMPONENT
                 16731 P                  521001 1985 18              08400       3       D     200112  G8PAE
ERROR CODES:  100.14.3 / 370.04.2 / 652.60.2 /

NAME         SSN      DOB   NOA AUTH1 AUTH2 CAA1 CAA2 TEN POS SPV  LPA DUTY-STA   PAYPLAN  OCCU  GRADE STEP   BASPAY   PB  PRD  WS
DEER,JOHN123-45-6790 011970 713  N3M        N3M        1   1   8   80  511001059     GS    1102    05   00    032859   PA   K   F

VET VEV  SCD   EFF-DATE  HCP SEX RNO        RET  MIL I/GA BEN-AMT PLPA PDUTY-STA PPAYPLAN POCCU PGRADE PSTEP PBASPAY  PPB PPRD PWS
 1   X  199103 20021117  23   M   I          K                     80  511001059     GS    1102    05   00    032859   PA   K   F

RETENT SUPER-DIF AWARD PRV-RET FROZEN-SVC INSTPG YRDG ED LOC-ADJ      PLOC-ADJ RAT-LEV RAT-PAT RAT-PED  ORG-COMPONENT
                       P                  520201 2000 13 03772        03772       3       D     200211  G8PAE
ERROR CODES:  100.00.2 /

NAME         SSN      DOB   NOA AUTH1 AUTH2 CAA1 CAA2 TEN POS SPV  LPA DUTY-STA   PAYPLAN  OCCU  GRADE STEP   BASPAY   PB  PRD  WS
DOE,JANE 123-45-6791 051964 721  N2M        N2M        1   1   8   80  511001059     GS    0510    14   04    077225   PA   0   F

VET VEV  SCD   EFF-DATE  HCP SEX RNO        RET  MIL I/GA BEN-AMT PLPA PDUTY-STA PPAYPLAN POCCU PGRADE PSTEP PBASPAY  PPB PPRD PWS
 1   X  198109 20021103  05   F   K          C                     80  511001059     GS    0510    14   04    077225   PA   0   F

RETENT SUPER-DIF AWARD PRV-RET FROZEN-SVC INSTPG YRDG ED LOC-ADJ      PLOC-ADJ RAT-LEV RAT-PAT RAT-PED  ORG-COMPONENT
                       P       1602       520301 1982 13 08865        08865       3       D     200109  NDHTF
ERROR CODES:  100.00.2 /

NAME         SSN      DOB   NOA AUTH1 AUTH2 CAA1 CAA2 TEN POS SPV  LPA DUTY-STA   PAYPLAN  OCCU  GRADE STEP   BASPAY   PB  PRD  WS
DOE,JOHN 123-45-6792 031964 893  Q7M        KTM        1   1   8   29  483280201     GS    0301    11   04    045851   PA   0   F

VET VEV  SCD   EFF-DATE  HCP SEX RNO        RET  MIL I/GA BEN-AMT PLPA PDUTY-STA PPAYPLAN POCCU PGRADE PSTEP PBASPAY  PPB PPRD PWS
 1   X  198204 20021103  05   M   B          C                     29  483280201     GS    0301    12   02    051624   PA   0   F

RETENT SUPER-DIF AWARD PRV-RET FROZEN-SVC INSTPG YRDG ED LOC-ADJ      PLOC-ADJ RAT-LEV RAT-PAT RAT-PED  ORG-COMPONENT
                       P                        04 08533        09607       3       D     200012  WCRWG
ERROR CODES:  540.02.2 / 570.02.2 / 653.15.2 /
```

Figure F-3. Dynamics Submission Quality Control Report

CPP2230C
07/22/2002

U. S. OFFICE OF PERSONNEL MANAGEMENT
CENTRAL PERSONNEL DATA FILE
DYNAMICS SUBMISSION QUALITY CONTROL REPORT

PAGE 1

AGENCY: XX FICTITIOUS AGENCY
SUBMISSION PERIOD: 05/19/2002 - 06/29/2002

SUBMITTED BY: XX FICTITIOUS AGENCY
SUBMISSION ID: D2002061ZZ 0
DATE RECEIVED: 07/09/2002

A. ERRORS BY RECORD

RECORDS	NUMBER	%
SUBMITTED	1,849	100.0
DUPLICATES	24	1.3
REC CANCL	19	1.0
CORR CANCL	43	2.3
REC CORR		
GEN CANCLS	46	2.5
EDITED	1,790	96.8
REC W/ERRORS	160	8.9
REC W/FATAL ERRORS		
REC ACCEPTED	1,790	100.0
REC W/ALL REQ DATA	1,630	91.1

C. MOST FREQUENT ERRORS BY ERROR CODE

	ERROR CODE	NUMBER OF ERRORS	% OF ERRORS	% OF RECORD
1	653 16 2	44	25.7	2.4
2	100 07 3	23	13.5	1.2
3	050 02 2	19	11.1	1.0
4	100 20 2	14	8.2	.8
5	370 02 2	14	8.2	.8
6	100 11 2	12	7.0	.6
7	780 03 2	11	6.4	.6
8	130 02 3	10	5.8	.5
9	760 00 2	4	2.3	.2
10	760 05 3	4	2.3	.2
11	100 22 3	2	1.2	.1
12	100 58 3	2	1.2	.1
13	100 64 3	2	1.2	.1
14	390 00 2	1	.6	.1
15	470 02 2	1	.6	.1
16	471 02 3	1	.6	.1
17	500 16 2	1	.6	.1
18	520 00 2	1	.6	.1
19	580 04 2	1	.6	.1
20	600 00 3	1	.6	.1
	OTHERS	3	1.8	
	TOTAL ERRORS:	171		

B. ERRORS BY DATA ELEMENT

DATA ELEMENT	NUMBER INVALID	% INVALID
CURRENT APPOINTMENT AUTHORITY	69	3.9
PRIOR LOCALITY ADJUSTMENT	44	2.5
AWARD AMOUNT	19	1.1

Figure F-3. Dynamics Submission Quality Control Report (continued)

CPP2230C
07/22/2002

U. S. OFFICE OF PERSONNEL MANAGEMENT
CENTRAL PERSONNEL DATA FILE
DYNAMICS SUBMISSION QUALITY CONTROL REPORT

PAGE 2

AGENCY: XX FICTITIOUS AGENCY
SUBMISSION PERIOD: 05/19/2002 - 06/29/2002

SUBMITTED BY: XX FICTITIOUS AGENCY
SUBMISSION ID: D2002061ZZ 0
DATE RECEIVED: 07/09/2002

NOA 100'S

	ERROR			
1	780 03 2	4	44	5.0
2	100 07 3	1	11	1.3
3	130 02 3	1	11	1.3
4	470 02 2	1	11	1.3
5	500 16 2	1	11	1.3
TOT REC	80 ERR	9 REC W/ERR	9	11%

NOA 200'S

	ERROR			
1	100 07 3	7	100	25.0
2				
3				
4				
5				
TOT REC	28 ERR	7 REC W/ERR	7	25%

NOA 300'S

	ERROR			
1	653 16 2	1	100	5.0
2				
3				
4				
5				
TOT REC	20 ERR	1 REC W/ERR	1	5%

NOA 400'S

	ERROR			
1	100 07 3	2	100	33.3
2				
3				
4				
5				
TOT REC	6 ERR	2 REC W/ERR	2	33%

NOA 500'S

	ERROR			
1	780 03 2	1	100	12.5
2				
3				
4				
5				
TOT REC	8 ERR	1 REC W/ERR	1	12%

NOA 700'S

	ERROR			
1	100 07 3	6	19	2.7
2	100 11 2	6	19	2.7
3	653 16 2	6	19	2.7
4	130 02 3	3	10	1.4
5	780 03 2	3	10	1.4
TOT REC	220 ERR	31 REC W/ERR	28	12%

NOA 800'S

	ERROR			
1	653 16 2	37	31	2.7
2	050 02 2	19	16	1.4
3	370 02 2	14	12	1.0
4	100 20 2	12	10	.9
5	100 07 3	7	6	.5
TOT REC	1,384 ERR	119 REC W/ERR	111	8%

NOA COR/CAN/OTHR

	ERROR			
1	760 00 2	1	100	2.3
2				
3				
4				
5				
TOT REC	44 ERR	1 REC W/ERR	1	2%

Figure F-4. Dynamics Volume and Currency Report

CPDVCR1C PAGE 1
07/22/2002

U.S. OFFICE OF PERSONNEL MANAGEMENT
CENTRAL PERSONNEL DATA FILE
DYNAMICS VOLUME AND CURRENCY REPORT

AGENCY: XX FICTITIOUS AGENCY
SUBMISSION PERIOD: 05/19/2002 - 06/29/2002

DATE RECEIVED: 07/09/2002

DATE PROCESSED: 07/09/2002

SUBMITTED BY: XX FICTITIOUS AGENCY
SUBMISSION ID : D 2002061ZZ 0

SUBMISSION TIME: 10 DAYS

NOA	VOLUME		CURRENT		LATE									
					1-30 DAYS		31-60 DAYS		61-90 DAYS		91+ DAYS		TOTAL	
GROUP	NUM.	%	NUM.	%	NUM.	%	NUM.	%	NUM.	%	NUM.	%	NUM.	%
1XX	80	4.5	80	100.0	0	0.0	0	0.0	0	0.0	0	0.0	0	0.0
2XX	28	1.6	27	96.4	1	3.6	0	0.0	0	0.0	0	0.0	1	3.6
3XX	20	1.1	19	95.0	1	5.0	0	0.0	0	0.0	0	0.0	1	5.0
4XX	6	0.3	5	83.3	0	0.0	1	16.7	0	0.0	0	0.0	1	16.7
5XX	8	0.4	8	100.0	0	0.0	0	0.0	0	0.0	0	0.0	0	0.0
7XX	220	12.3	215	97.7	2	0.9	0	0.0	0	0.0	3	1.4	5	2.3
8XX	1384	77.3	1367	98.8	12	0.9	1	0.1	1	0.1	3	0.2	17	1.2
SUB-TOTAL	1746	97.5	1721	98.6	16	0.9	2	0.1	1	0.1	6	0.3	25	1.4
COR	3	0.2	0	0.0	3	100.0	0	0.0	0	0.0	0	0.0	3	100.0
CAN	41	2.3	10	24.4	11	26.8	3	7.3	1	2.4	16	39.0	31	75.6
SUB-TOTAL	44	2.5	10	22.7	14	31.8	3	6.8	1	2.3	16	36.4	34	77.3
TOTAL	1790	100.0	1731	96.7	30	1.7	5	0.3	2	0.1	22	1.2	59	3.3

Figure F-5. Dynamics Overview Report

CPP2360C
DATE: 07/22/2002

U.S. OFFICE OF PERSONNEL MANAGEMENT
CPDF QUALITY CONTROL REPORT
UNRELEASED DYNAMICS OVERVIEW
FOR SUBMISSION PERIOD
05/19/2002 TO 06/29/2002

PAGE 01

A G E N C Y : XX FICTITIOUS AGENCY

SUBMISSION ID: D2002061XX 0

	N O A			G R O U P I N G S								
	1XX			2XX			3XX			4XX		
		INVALID			INVALID			INVALID			INVALID	
DATA ELEMENT NAME	VALID	NUMBER	PCT%	VALID	NUMBER	PCT%	VALID	NUMBER	PCT%	VALID	NUMBER	PCT%
AWARDS DATA	0	0		0	0		0	0		0	0	
BASIC PAY	80	0		28	0		20	0		6	0	
COLA	0	0		0	0		0	0		0	0	
CURRENT APPT. AUTH.	79	1	1.3	21	7	25.0	20	0		4	2	33.3
DATE OF BIRTH	80	0		28	0		20	0		6	0	
DUTY / MSA / LOC AR	80	0		28	0		20	0		6	0	
EDUCATION DATA	75	5	6.3	28	0		20	0		6	0	
GRADE / GS RELATED	80	0		28	0		20	0		6	0	
HANDICAP CODE	80	0		28	0		20	0		6	0	
LEGAL AUTHORITY	80	0		28	0		18	0		6	0	
LOCALITY ADJUSTMENT	52	0		28	0		15	1	6.3	6	0	
OCCU / OCCU ID	80	0		28	0		20	0		6	0	
ORG. COMPONENT	80	0		28	0		20	0		6	0	
PAY BASIS	80	0		28	0		20	0		6	0	
PAY PLAN	80	0		28	0		20	0		6	0	
PAY RATE DETERMNT.	80	0		28	0		20	0		6	0	
PERSONNEL OFFICE ID	80	0		28	0		20	0		6	0	
POSITION OCCUPIED	80	0		28	0		20	0		6	0	
PRIOR DUTY STATION	0	0		28	0		20	0		6	0	
PRIOR PAY DATA	0	0		28	0		19	1	5.0	6	0	
PRIOR WORK SCHED.	0	0		28	0		20	0		6	0	
RACE NATIONAL ORIG.	80	0		28	0		20	0		6	0	
RATING OF REC LEVEL	79	1	1.3	28	0		20	0		6	0	
RETENTION ALLOWANCE	0	0		0	0		0	0		0	0	
RETIREMENT DATA	80	0		28	0		20	0		6	0	
SERVICE COMP. DATE	80	0		28	0		20	0		6	0	
SEX	80	0		28	0		20	0		6	0	
SUPERVISORY DIFF	0	0		0	0		0	0		0	0	
STEP OR RATE	80	0		28	0		20	0		6	0	
SUBELEMENT	80	0		28	0		20	0		6	0	
SUPERVISORY STATUS	80	0		28	0		20	0		6	0	
TENURE	80	0		28	0		20	0		6	0	
TYPE OF APPOINTMENT	80	0		28	0		20	0		6	0	
VETERANS PREFERENCE	80	0		28	0		20	0		6	0	
VETERANS STATUS	79	1	1.3	28	0		20	0		6	0	
WORK SCHEDULE	80	0		28	0		20	0		6	0	
TOTAL NUMBER OF RECORDS:		80		28			20			6		

Figure F-5. Dynamics Overview Report (continued)

CPP2360C
DATE: 07/22/2002

U.S. OFFICE OF PERSONNEL MANAGEMENT
CPDF QUALITY CONTROL REPORT
UNRELEASED DYNAMICS OVERVIEW
FOR SUBMISSION PERIOD
05/19/2002 TO 06/29/2002

PAGE 02

A G E N C Y : XX FICTITIOUS AGENCY

SUBMISSION ID: D2002061XX 0

	N O A			G R O U P I N G S								
	5XX			7XX			8XX			TOTAL		
		INVALID			INVALID			INVALID			INVALID	
DATA ELEMENT NAME	VALID	NUMBER	PCT%	VALID	NUMBER	PCT%	VALID	NUMBER	PCT%	VALID	NUMBER	PCT%
AWARDS DATA	0	0		0	0		1,176	19	1.6	1,176	19	1.6
BASIC PAY	8	0		220	0		1,383	1	.1	1,745	1	.1
COLA	0	0		0	0		0	0		0	0	
CURRENT APPT. AUTH.	8	0		205	15	6.8	1,340	44	3.2	1,677	69	4.0
DATE OF BIRTH	8	0		220	0		1,384	0		1,746	0	
DUTY / MSA / LOC AR	8	0		220	0		1,384	0		1,746	0	
EDUCATION DATA	7	1	12.5	212	6	2.8	1,373	9	.7	1,721	21	1.2
GRADE / GS RELATED	8	0		220	0		1,384	0		1,746	0	
HANDICAP CODE	8	0		220	0		1,384	0		1,746	0	
LEGAL AUTHORITY	8	0		220	0		195	0		555	0	
LOCALITY ADJUSTMENT	8	0		138	0		1,084	1	.1	1,331	2	.2
OCCU / OCCU ID	8	0		220	0		1,383	1	.1	1,745	1	.1
ORG. COMPONENT	8	0		220	0		1,384	0		1,746	0	
PAY BASIS	8	0		220	0		1,383	1	.1	1,745	1	.1
PAY PLAN	8	0		220	0		1,384	0		1,746	0	
PAY RATE DETERMNT.	8	0		220	0		1,384	0		1,746	0	
PERSONNEL OFFICE ID	8	0		220	0		1,384	0		1,746	0	
POSITION OCCUPIED	8	0		220	0		1,384	0		1,746	0	
PRIOR DUTY STATION	8	0		220	0		1,384	0		1,666	0	
PRIOR PAY DATA	8	0		214	6	2.7	1,345	39	2.8	1,620	46	2.8
PRIOR WORK SCHED.	8	0		220	0		1,384	0		1,666	0	
RACE NATIONAL ORIG.	8	0		220	0		1,383	1	.1	1,745	1	.1
RATING OF REC LEVEL	8	0		219	1	.5	1,384	0		1,744	2	.1
RETENTION ALLOWANCE	0	0		12	0		105	0		117	0	
RETIREMENT DATA	8	0		220	0		1,384	0		1,746	0	
SERVICE COMP. DATE	8	0		220	0		1,384	0		1,746	0	
SEX	8	0		220	0		1,384	0		1,746	0	
SUPERVISORY DIFF	0	0		0	0		0	0		0	0	
STEP OR RATE	8	0		220	0		1,384	0		1,746	0	
SUBELEMENT	8	0		220	0		1,384	0		1,746	0	
SUPERVISORY STATUS	8	0		220	0		1,383	1	.1	1,745	1	.1
TENURE	8	0		220	0		1,384	0		1,746	0	
TYPE OF APPOINTMENT	8	0		220	0		1,384	0		1,746	0	
VETERANS PREFERENCE	8	0		220	0		1,384	0		1,746	0	
VETERANS STATUS	8	0		217	3	1.4	1,381	3	.2	1,739	7	.4
WORK SCHEDULE	8	0		220	0		1,384	0		1,746	0	
TOTAL NUMBER OF RECORDS:		8		220			1,384			1,746		

Figure F-6. Status Submission Quality Control Report

(To Be Added)

Figure F-7. CPDF Overview Report - Unreleased Status File

(To Be Added)

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 PERSONNEL SYSTEMS GROUP 1900 E STREET NW 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

U.S. Office of Personnel Management
AUTHORIZED FOR LOCAL REPRODUCTION

OPM Form 1396
(Rev 6/01)

H. SUMMARY OF CHANGES

SECTION	EXPLANATION
Cover	Updates the cover and page headers to show Update 21, dated April 12, 2004.
E. Transmission Requirements	
	E, 1, 1, a (Connect:Direct). Updates the email address of OPM's Data Exchange Coordinator.
	E, 1, 2, b (Filenames). Removes the parenthetical note regarding non-Connect:Direct transmissions.
	E, 1, 2, c, (2). Changes the date in the last sentence from Feb. 21, 2001 to Feb. 21, 2004.