Phase II
Personnel Action
Requirements Definition and Prototype

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ASD

OIRM · Administrative Systems Division

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1.0 Project Background

In early 1990, an Automation Implementation Plan was completed for the Office of Human Resources Management (OHRM) identifying and prioritizing the automation projects required to support their mission needs. The Standard Form 52 (SF52) process was identified as having the highest priority for automation.

A multi-phased project was initiated to address this automation need. The objectives of the first phase of the project were to develop an initial system concept and to evaluate alternative solutions (i.e., SF52 processing systems currently operating at other Agencies and available for use by EPA) to in-house development. The study found that USGS had an SF52 system that was functionally similar to the needs of EPA, however, at the time it could not be easily imported directly to EPA's operating and technical environment. Consequently, based on the systems available at the time of the study, it was determined to proceed with the definition and development of an SF52 system to satisfy the Agency's requirements.

The initial scope of this phase of the project focused on the development of requirements for an SF52 system. However, as functional requirements were defined, it became obvious that the SF52 system must be defined and developed within the framework of OARM's integrated administrative systems (IAS) concept. As a result, preliminary work was completed to define the concept of an Integrated Human Resources System (IHRS). It was determined that the IHRS would be comprised of two major items: an EPA Personnel Action Request and Servicing System (EPARSS) and a management information/data sharing program. In that context, joint application design (JAD) sessions were conducted to evolve the EPARSS model of which the SF52 system is a component.

In the spirit of IHRS/EPARSS, detailed requirements work was completed for the SF52 and awards components of EPARSS. Based on this information, "first generation" prototypes were developed to assist with requirements identification, refinement and validation. This document presents the results of this work.

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2.0 IHRS Concept

The current strategy for administrative applications is to develop an integrated administrative systems (IAS) environment (Figure 2.0.1). This is being undertaken to support the Agency's recognition of the need to increase productivity and overall efficiency through reduced data entry, and simplified access to timely, accurate administrative information.

In this context, the concept of an Integrated Human Resources System (IHRS) was born (Figure 2.0.2). The IHRS consists of two major components: the EPA Personnel Action Request and Servicing System (EPARSS) and a program to develop and distribute (i.e., provide shared access) human resources related information.
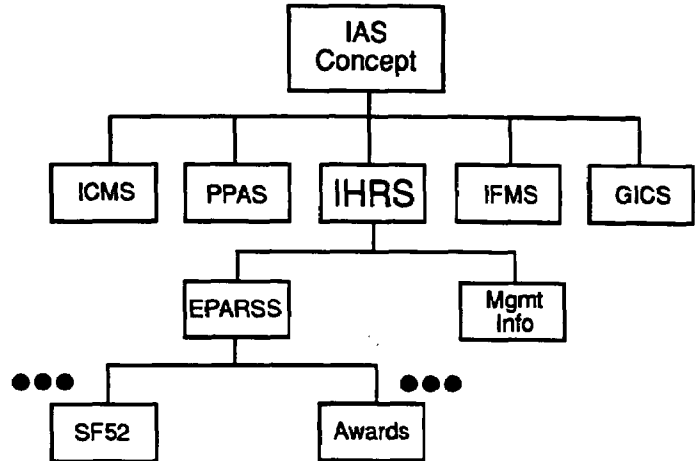
Figure 2.0.1
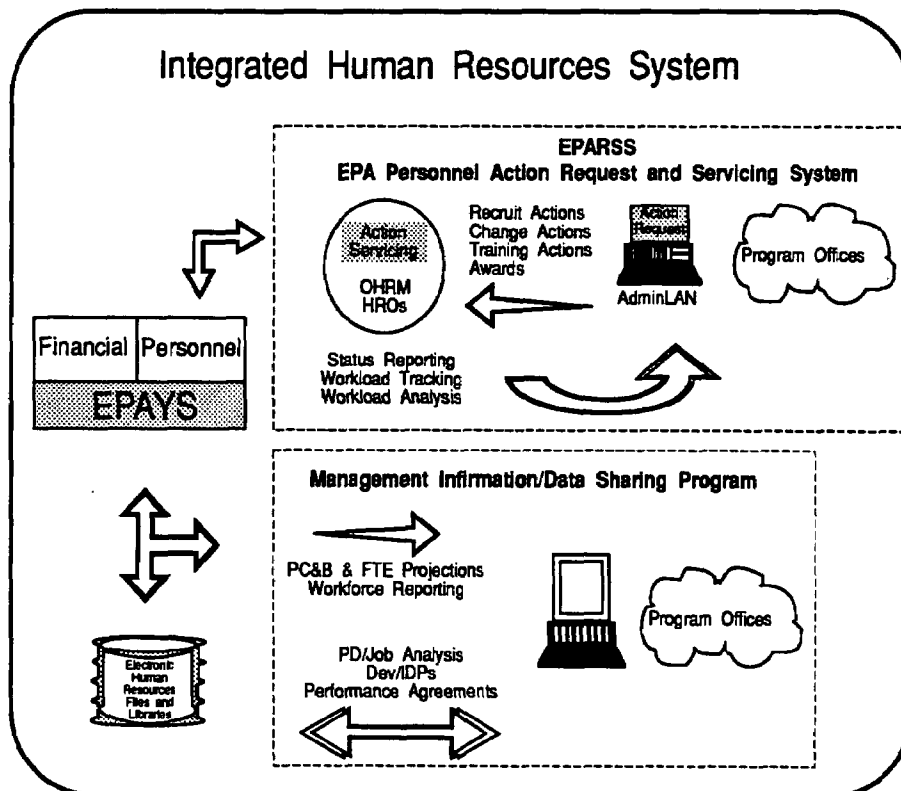
Figure 2.0.2

EPARSS consists of the services offered by the human resources offices which are provided as a result of an incoming request (e.g., promotion, recruitment, training request, award). The objective of EPARSS is to develop a suite of subsystems which will allow these requests to be initiated electronically at the point of initiation (i.e., program office) and moved forward throughout the Agency until the service requested has been rendered. The subsystems will be essentially "paperless" and will provide for electronic signature and automatic tracking.

The objectives of the management information/data sharing program are to allow Agency-wide access to human resources information already contained in existing personnel databases or in large non-electronic files and to promote the electronic flow of data between the human resources offices and the users of human resources information.

3.0 EPARSS Functional Model

A functional decomposition diagram (Appendix A1) of an EPA Personnel Action Request and Servicing System (EPARSS) was developed jointly with the human resources office through various JAD sessions. The diagram (summarized in Figure 3.0.1) identifies the major functions performed by the various human resources offices. Definitions of the functions are contained in Appendix A2. Additional detailed requirements work will be required to define the EPARSS concept and to identify the functional processes which are realistically feasible candidates for automation.
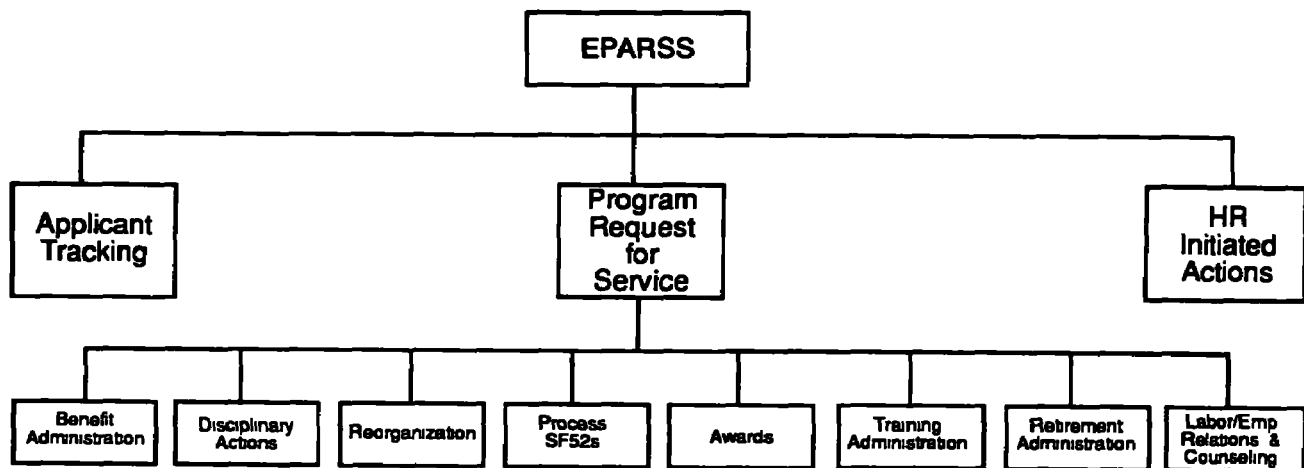
Figure 3.0.1

As part of the scope of this phase, the "Process SF52s" and the "Process EPA3130", subordinate to "Awards", functions were defined in more detail. The requirements for these two functions can be found in Sections 4.0 and 5.0 respectively. In addition, first-generation prototypes were developed for each one to assist with requirements identification, refinement and validation.

An entity relationship model was also developed containing the major data entities involved in the processes (Appendix A3). Definitions of the entities are contained in Appendix A4.

EPARSS will ultimately consist of a group of subsystems which support the various services offered by the human resources organizations throughout EPA. These services are generally provided upon the receipt of a service request (e.g., a form) from the requesting party. The service requests (e.g., promotion, recruitment, training request, award) are generally initiated as a standard form, sent to a higher organizational level for signature(s) and then forwarded to the appropriate human resources office for processing (i.e., servicing). Nearly all personnel actions identified in EPARSS follow this flow (Figure 3.0.2).

Generic Form-Based System Model
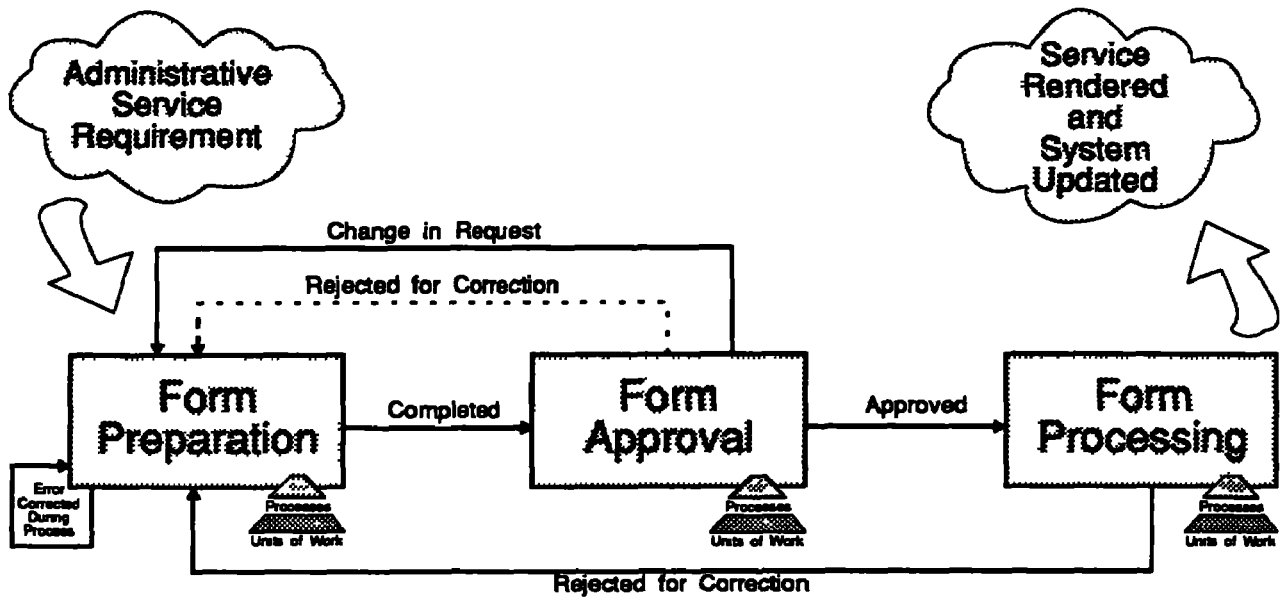
Figure 3.0.2

4.0 SF52 Functional Requirements

4.1 Current Environment

The current SF52 process within EPA is predominantly manual and relies on the internal mail system or hand-delivery to move the SF52 through the process. There are over 25,000 SF52-type personnel actions processed per year throughout the Agency (Appendix A5). There are 16 EPA locations which process SF52s and it is estimated that there are approximately 75 points of submission (i.e., final points of approval/review prior to sending the SF52 to Human Resources for processing) and well over 250 points of action initiation (i.e., first point where a requester originates the action).

SF52s (Appendix A12) are initiated in program offices and forwarded to Human Resources once the SF52 has been officially authorized by the appropriate requesting office official. This signature implies that budget, security and any other required approvals have been secured. Figure 4.1.1 provides an overview of the SF52 processing flow.

Once the SF52 reaches the human resources office (for example at EPA HQ), a cover sheet is prepared and it is logged into the automated Workload Tracking System

Figure 4.1.1

(WTS). WTS captures the dates and remarks recorded manually on the cover sheet and produces tracking and status reports. Typically, this data is entered or updated in the tracking system each time the SF52 (and related paperwork) moves from one "desk" to another. The action is then forwarded to the prescribed processing team.

The processing of an SF52 is variable depending upon the nature of the action being requested and may take up to four months for completion. As the typical first step after logging, the SF52 goes to a Classifier for evaluation and classification of the position description (PD), determination whether the PD supports the grade, title and series, review of promotion potential and assignment of the nature of action code (NOAC). After classification, the SF52 moves to the staffer for completion.

The staffer will complete the SF52 data, prepare a vacancy announcement and conduct competition and recruitment as required. After the action is completed (i.e., the position is filled), the SF52 is sent to processing for final review and validation. It should be noted that there is a functional change occurring within OHRM which will merge the functions of the classifier and staffer into a personnel
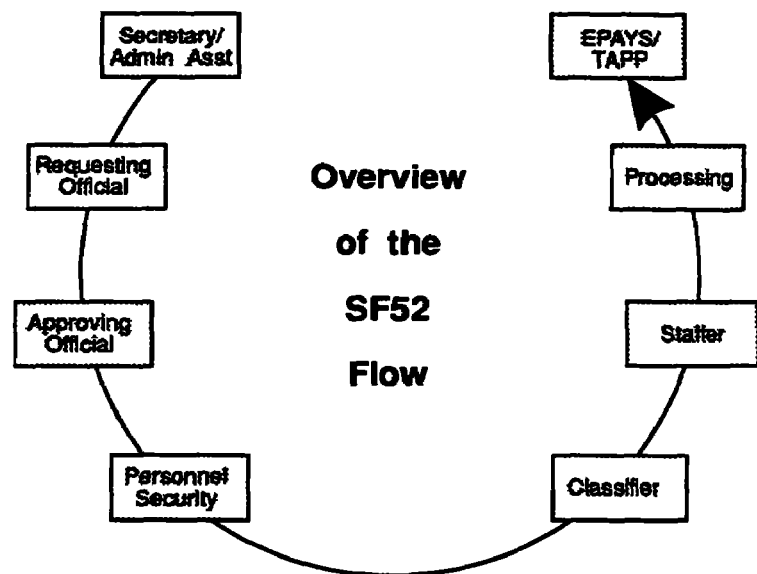
specialist, however, this is not necessarily the case in the Regions.

The data is entered into EPAYS via 3 TAPP data entry screens (Appendix A14). EPAYS generates OPM data and an SF50, which is filed on the right side (official) of the individual's Official Personnel Folder (OPF). The SF52 is filed on the left side (unofficial) of the OPF.

Although there are numerous types of personnel and position-related actions (Appendices A6 and A7), there are generally two different procedural flows which occur when processing an SF52: 1) recruitment and 2) change status. There are, however, variations of these flows based on the specific nature of action being processed and the circumstances of the employee to which the action relates. Figure 4.1.2 and 4.1.3, respectively, provide a summarized view of the processing of a typical personnel action under each of these two scenarios.

Recruitment

Figure 4.1.2

Change Status

Program Office	Personnel Security (IG)	Personnel Assistant	Team Leader	Classifier and Staffer	Processing	EPAYS/ TAPP	OPM

Obtain Budget Approval

Prepare SF52

Approve Personnel Action

Determine Position Sensitivity

Send to HRO

Prepare Supporting Documentation

Log into WTS

Attach Cover Sheet

Evaluate Position Description

Classify Position

Complete SF52

Determine Compliance w/ 296-33

Review and Approve

Enter into TAPP

Review and Validate

Update Personnel/ Payroll Record

Generate SF50

Generate OPM Data

Update CPDF

Detail & Misc Job Change
Conversion
Reassignment
Separation
Misc. Change
Promotion

Figure 4.1.3

4.2. Scope of the Proposed System

An SF52 processing system for EPA should automate the entire flow of an SF52 within the Agency, starting with its initiation in the requesting office, through its processing in human resources, to its ultimate entry into EPAYS. The system should provide for the "paperless" initiation, processing, tracking and routing of the SF52 and, to the extent possible, its supporting documents. The system should address recruit and change status actions (Figure 4.2.1).

Process SF52s

Change Status

Recruit
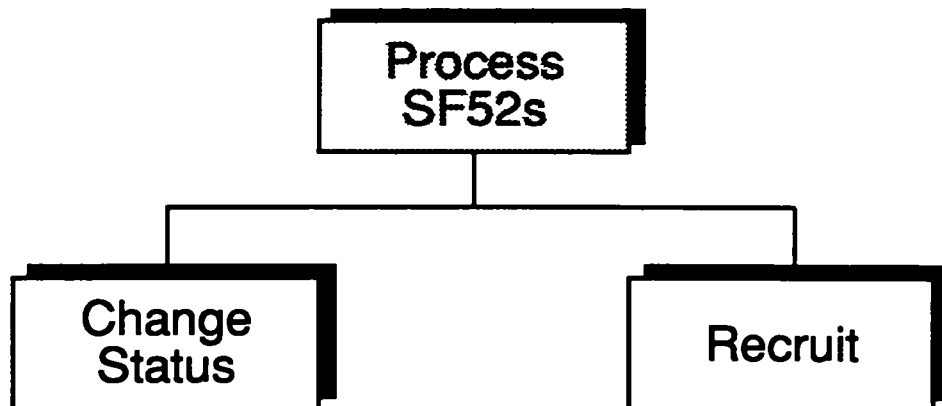
Figure 4.2.1

The system must service two distinct user groups:

1. Program Offices: This part of the system will be used by the requesting offices (i.e., program offices) to:

    A. Initiate a request for a personnel action.
    B. Track the movement of requests for personnel action until all processing is completed and the requested action is effected.
    C. Produce reports of both pending and completed actions.

2. Human Resources Offices: This part of the system will be used by the servicing human resources offices.

    A. Complete the request for a personnel action.
    B. Track the receipt and processing of requests for personnel action until all processing is completed and the requested action is effected.
    C. Produce reports of both pending and completed actions.
    D. Feed the action electronically into EPAYS.

Using the Automated SF52 System, program offices should be able to prepare and manage their Requests for Personnel Action, SF52s, interactively with the use of computer terminals or PCs. Information on Agency employees should be available from the current EPAYS master file to reduce data entry and to provide the most up-to-date data available. Actions should be electronically routed to all appropriate individuals in both the program and human resources offices. Access to any action should be restricted by user "profiles" that will define the scope of access for each user of the system. The actions should be "signed" electronically based on user profiles (in accordance with EPA standards regarding electronic signature). The system should provide additional capabilities such as:

    ❑ Tracking the progress of actions.
    ❑ Sending courtesy copies of an action.
    ❑ Routing actions for concurrence.
   ❑ Viewing appropriate actions.
    ❑ Deleting actions.

The SF52 processing system must comply with OPM's FPM Supplement 296-33, The Guide to Processing Personnel Actions, and EPA Human Resources Policies. The system must be "decentralized" in nature providing for use Agency-wide as a standard national administrative system for each EPA location (Headquarters, Regions and Laboratories) that process their own SF52s.

The system must also comply with OIRM technical standards in terms of its programming language, data manager, telecommunications monitor and operating characteristics. The system need not necessarily be centralized and it may be desirable that certain functions operate in a local area network (LAN) environment. In fact, the different operating environments encountered throughout the Agency may require the system to operate on different platforms (e.g., a LAN for selected Regions

or Program Offices and the IBM mainframe for others).

4.3 Key Operating Requirements

The SF52 system should automate the various phases of requesting and processing a personnel action. The system should include the following:

1. A Request for Personnel Action, SF52, should be entered into the system at the requesting office level. The system should recognize those individuals in each program office who are authorized to initiate (input) a request, sign as a requesting official, and/or sign as an approving official.

2. The system should automatically provide current employee personnel information, eliminating entry of the "from" information on the request and requiring entry of only that information which changes as a result of the requested action on the "to" portion of the action.

3. The system should allow for electronic signature.

4. The system should provide electronic forwarding of the SF52 between individuals who must provide data or sign the request.

5. The system should automatically route the SF52 to personnel security, if required, or the appropriate servicing human resources office after the approving official signs the request.

6. The system should automatically route the SF52 to the first appropriate HR specialist (or team) for data input and/or approval as required based on the type of action requested by the program office.

7. The system should control input (change/update) based on the functional authority of the person attempting to update the SF52.

8. The system should control the routing of the SF52 to specific individuals based on functional authority and other criteria that identifies the individuals authority.

9. The system should identify the "normal" routing of an SF52 and the functional areas (i.e., Classification, Staffing, Team Leader, Processing) where action should be taken. The system should allow the current user to "interrupt" the normal routing when circumstances warrant (e.g., the action can be returned to Classification by a staffing specialist when an eligible candidate is not found at the grade level specified on the initial request).

10. The system should produce EPAYS update transactions for submission on a daily basis.

4.4 SF52 Functional Requirements

The SF52 requirements are documented from a perspective of the different system user types

involved during the life-cycle of an SF52 (i.e., the point of creation of an SF52 until it is entered into EPAYS) and the functions which can be performed during various processes. This approach effectively identifies the flow of the SF52 in the system and the functionality required for the various users. Appendix A8 documents several related general system concepts which may also assist with the design and development of an SF52 system.

4.4.1 System User Types

The user system types reflect the stops the SF52 must pass through in order to gather the required data and signatures, and to comply with the required regulatory process and evaluation. The system user types include:

- ❑ Viewer - a user given the authority to receive and review a courtesy copy of the SF52. The "real" SF52 continues on its route, it is not held while the Viewer reviews it. The Viewer does not change it, sign it and can not send it to anyone else.

- ❑ Initiator - a user given the authority to create/initiate an SF52. The Initiator can not sign it and must send it to a Requesting Official for review and signature.

- ❑ Requesting Official - a user given the authority to create/initiate an SF52. The Requesting Official can sign the SF52 for those personnel within the authorized organizational hierarchy. The system will begin tracking all activities related to the SF52 once it is sent by the Requesting Official.

- ❑ Obligating Official - a user given the authority to verify the availability of funding for the action. The Obligating Official can sign the SF52 and complete the appropriation code. The progress of the SF52 will be stalled while under the ownership of the Obligating Official.

- ❑ Reviewing Official - a user given the authority to concur on the SF52. The Reviewing Official can not sign the SF52. The progress of the SF52 will be stalled while under the ownership of the Reviewing Official.

- ❑ Approving Official - a user given the authority to approve the SF52. The Approving Official must sign the SF52 before it can be sent to the Human Resources Office. The progress of the SF52 will be stalled while under the ownership of the Approving Official.

- ❑ Personnel Security - a user given the authority to determine position sensitivity for any newly established positions and to ensure that the individual assuming the position satisfies the security requirements. The progress of the SF52 will be stalled while under the ownership of the Personnel Security although certain actions can proceed without the completion of the security work (e.g., recruitment while the position is being filled) when the SF52 is sent to Human Resources.

- ❑ Classifier - a human resources specialist given the authority to evaluate the SF52 in terms

of the duties and responsibilities of the position and to assign a title, occupation series and grade to it. The progress of the SF52 will be stalled while under the ownership of the Classifier.

❑ Staffer - a human resources specialist given the authority to complete the employee related fields and to conduct recruitment activities associated with filling the position. The progress of the SF52 will be stalled while under the ownership of the Staffer.

❑ Team Leader/Supervisor - a human resources supervisor given the authority to review and approve the work completed by the classifier and staffer prior to sending the SF52 to processing where it will be released to EPAYS. The progress of the SF52 will be stalled while under the ownership of the Team Leader/Supervisor.

❑ Processor - a human resources staff given the authority to perform final review and approval prior to releasing the SF52 into EPAYS. The progress of the SF52 will be stalled while under the ownership of the Processor.

❑ System Administrator - a user given authority to perform system administration functions such as maintain authority levels and relocate the ownership of an SF52 from one user to another.

4.4.2 Functions

The functions reflect what can be done to the SF52. The functions which the system should provide include:

❑ Create Action - initiating an SF52 by completing all prescribed data elements with the exception of the appropriation code and personnel security.

❑ Hold Action - maintaining ownership of the SF52 while impeding its progress in the system. An SF52 being held is still considered active in the system.

❑ Discard Action - eliminating a courtesy copy from the system.

❑ Add Data - adding additional data to the SF52. The data elements for which the user is given access are controlled by their authority level.

❑ Change Data - changing existing data elements previously completed on the SF52. The data elements for which the user is given access are controlled by their authority level.

❑ Delete Action - deleting (remove) an SF52 from the system.

❑ Sign Action - electronically signing an SF52.

❑ Send Action - forwarding an SF52 to the next processing stop. This may include sending

courtesy copies or returning the SF52 to a lower level for correction or reconsideration.

❑ <u>Receive Action</u> - receiving an SF52 sent by another system user.

❑ <u>View Action</u> - looking at the data in an SF52.

❑ <u>Print Action</u> - creating a hardcopy of the SF52 (the system is intended to be paperless so this function should be used infrequently, restricted or even eliminated)

❑ <u>Request Report</u> - generate reports about SF52s related to ones organization

❑ <u>Suspend Action</u> - putting an SF52 on hold or effectively withholding processing on the action (e.g., recruit actions during a freeze). The action is not considered active while suspended.

❑ <u>Reinstate Action</u> - placing a previously suspended SF52 back into the process.

❑ <u>Release to EPAYS</u> - having the system generate the appropriate EPAYS transactions to update the EPAYS master files, and to allow EPAYS to generate an SF50 and prepare the CPDF data.

❑ <u>Request Status</u> - requesting the tracking history (i.e., activities and stops which occurred to the SF52) information contained in the sytem for the SF52 and any remarks/comments recorded while an individual had ownership.

❑ <u>Maintain Authority</u> - creating and updating information about the system users.

❑ <u>Change Action Ownership</u> - moving the SF52 from one user to another (e.g., when an SF52 is stalled because the owner is on vacation).

These functions should be controlled based on the authority level of the user. The table in Figure 4.4.1 shows the relationship between the system user types and functions.

4.4.3 Ownership Concept

To maintain the security and the integrity of the SF52s being processed in the system, an "ownership" concept must be employed. This means that, like in a paper system, who ever holds an SF52 is the only one that can effect any changes to it while they have it. Therefore, the system should apply the same concept by "locking out" other users from accessing an SF52 that is not in their "electronic mailbox". For example, when an SF52 is initiated in the Program Office, the action should be considered as "owned" by the user who is initiating the action (i.e., the SF52 is in the user's mailbox). Information should only be changed or deleted by the individual who "owns" the SF52. When an action is "forwarded", the system should transfer ownership (i.e., the SF52 is now in a different individual's mailbox and can only be changed or deleted by the new owner). Users should act (initiate, update, sign, etc.) on an SF52 as soon as possible and then send it to the next level for further

Functions Cross-referenced to System User Types												
	System User Types											
Function	Viewer	Initiator	Requesting Official	Obligating Official	Reviewing Official	Approving Official	Personnel Security	Classifier	Staffer	Team Leader	Processor	System Administrator
Create Action		A	A									
Hold Action		O	O	O	O	O	O	O	O	O	O	
Discard Copy	O											
Add Data		O	O	O				O	O	O		
Change Data		O	O	O				O	O			
Delete Action		O	O									
Sign Action			O	O	O	O	O	O	O	O	O	
Send Action		O	O	O	O	O	O	O	O	O	O	
Receive Action	A	A	A	A	A	A	A	A	A	A	A	
View Copy	O											
Print Action	O	O	O	O	O	O	O	O	O	O	O	
Request Report	A	A	A	A	A	A	A	A	A	A	A	
Suspend Action								O	O	O	O	
Reinstate Action								O	O	O	O	
Release to EPAYS											O	
Request Status	A	A	A	A	A	A	A	A	A	A	A	
Maintain Authority Levels												A
Change Action Ownership												A

O - Permitted function on SF52s during period of ownership.

A - Permitted function for those SF52s related to organizational authority.

Figure 4.4.1

processing, review, correction, signature, etc. Users should be notified on their screen when an SF52 is in their mailbox awaiting an action on their part. The system should also track who has the SF52, when they received it and when they forwarded it.

4.4.4 System Access

Access and functional capability assigned to a user of the SF52 system should be controlled by a "user profile". The user profile should serve several functions:

❑ Define the authority level of the user.

❑ Control system access (system security).

❑ Direct action forwarding and routing.

❑ Control the electronic signature process.

❑ Control access to SF52s contained in the system.

A user may require several profiles in the system based on their required duties and access authority. For example, a user may be an approving official for grades 1-13 and a requesting official for grades

14 and above. The system should also control access to personnel actions and the routing of actions based on the involved users':

❏ Organization code

❏ Submitting office number

❏ Grade

Any action that meets a user's profile parameters can be viewed or included in reports requested by that user regardless of who currently owns the action. Also, the status of any such action should be accessible.

4.4.5 Data Requirements

The SF52 can be used to initiate approximately 120 different personnel actions. Consequently, there are over 150 different data elements required to document the various actions. For example, a recruit action may begin with a simple request for eligibles and in the case of a new hire require nearly every available data element. The data elements required for the different categories of NOACs are listed in Appendix A14. An SF52 Data Dictionary, published under separate cover, provides a description and attributes of each data element. Appendix A9 lists the data elements and their page reference number in the data dictionary.

The initiation of an action should require the minimum number of data elements. Most actions can be initiated with a combination of the following data elements:

        Type of Personnel Action Being Requested
        Social Security Number
        Name
        Position Title
        Series
        Pay Plan
        Grade
        Step
        Salary
        Organization Code
        Location
        PD Number
        Account Number
        Effective Date
        Not-To-Exceed Date

The remainder of data elements required for the specific SF52 will be provided by the human resources specialists who process the action. They will require access to every SF52 data element, although not every data element is required for every action (Appendix A14).

Exhibit E1 provides a "first generation" prototype with screens that contain data elements to support the various system user types. The prototype also demonstrates the flow of an SF52 from point of initiation through entry into EPAYS. The prototype will assist with further refinement and the design of an operational SF52 system.

4.4.6 Forwarding and Routing

When an action is to be forwarded, the system should display a list of all users that the action can be sent to (including for view only). The user should be able to select the individuals to receive the action. Prior to forwarding, the action should be electronically signed if appropriate. The system should validate that the user receiving the action is authorized to get it and to perform the function for which it is being sent (e.g., the system should not allow an SF52 to be sent for approval to a user in the same organization but without the authority to approve it).

Anyone in the SF52 process should be able to send a copy of an "owned" action to another authorized individual for signature, review/concurrence or information purposes (i.e., courtesy copy). Concurrence may be required for monitoring FTEs or when someone needs to be informed of all SF52 actions prepared within their organization. The forwarding of an action to any user other than a Viewer should impede the progress of the action, requiring that the receiver logon to the system and take positive action (including forwarding). Viewing should not stop the progress or processing of the action since it serves as information only and should not require/allow signature or forwarding.

When "forwarding" an SF52 action to human resources, the system should verify that all required signatures have been obtained and determine which servicing human resources office should receive the action based on the employee's organization code. Program office personnel should be able to monitor the status of actions as they progress through the human resources organization; however, the program office should not be allowed to make changes/updates after the action has been forwarded to the servicing human resources office. If problems exist, the servicing human resources office should return the action to the program office or make the changes, as appropriate.

SF52 actions are considered to be "active" any time prior to submission to EPAYS. Once an action has been sent to EPAYS and the EPAYS master file has been updated, the SF52 information should be transferred to a "history" file.

4.4.7 Electronic Signature

One of the requirements of the system will be to provide users with a secure and reliable method of approving documents as they are passed from one system user to the next. Traditionally an SF52 document requires the signature of requesting officials, approving officials and human resource specialists. In the system, an electronic signature function will be required to record the approval of these individuals. The system should maintain a record of the signatures to support regulatory documentation, audit and historical reporting requirements. Electronic signature should comply with EPA standards (an EPA committee is in the process of defining electronic signature standards) and be approved by OPM as a legal technique for the signature of personnel action documents created

and processed electronically. Note: The prototypes contained herein have electronic signature functions, however, they were developed prior to an Agency standard and are not considered adequate for the purposes of a production system.

4.4.8 Identification of an SF52

A "control number" should be used by the SF52 system to uniquely identify each SF52. This number should be system generated upon completion of initial data entry. Once an SF52 is recorded in the system, it should be accessible by:

- ❑ Selecting the action from a list presented by the system.

- ❑ Using the SF52 system control number.

- ❑ Selecting the action by the SSN or Name, if available.

4.4.9 Tracking

In the context of the SF52 system, tracking means maintaining a record of all movements of the SF52 within the system. Tracking should begin at the point that a Requesting Official sends it. It should provide a clear record of what has happened to the SF52, who signed it, who presently has the action, and how long each user had it. SF52s kept more than a reasonable amount of time should be periodically identified. The system should analyze the time frames that records are being held by users and print "redline" analysis or send ticklers to notify users to take action. Notification of delayed SF52s should be presented on the user's screen in the form of a message.

The following events, at a minimum, should be recorded for purposes of tracking an SF52:

> Date originated in the Program Office
> Date approved in the Program Office
> Date of 2nd level approval in Program Office
> Date of budget approval
> Date of security approval
> Date received in human resources office
> Date to classifier
> Date to staffer
> Date to DEU
> Date to OPM
> Date job analysis completed
> Date vacancy announcement opened/closed
> Date cleared displaced employees list
> Date certification received from DEU/OPM
> Date certification returned to DEU/OPM
> Date certification sent to Program Office
> Date certification returned from Program Office

Effective date of action
Date to processing
Date to EPAYS/TAPP

4.4.10 Reporting

The system must produce tracking, workload, statistical, historical and management reports. The system must also support program office inquiries for status information on personnel actions currently in-process. The system should provide an ad hoc reporting capability to allow users to request listings and information about the SF52s processed in the system (e.g., the number of action processed for a specific program office). The majority of the reporting requirements of the system should be met through the ad hoc reporting facility. The following lists several standardized reports which should be available from the system:

> History of an SF52
> Summary of Completed Actions by Organization
> Completed Actions by Organization
> Completed Actions by Individual
> Actions Suspended
> Actions Being Held in Excess of xx Days
> Completed Actions by Type
> Open Actions By Type
> Open Actions by Individual
> Gains/Losses of FTEs by Organization
> "Redline" Analysis

4.4.11 System Interfaces

The SF52 system will require an interface with EPAYS, the major repository of EPA personnel/ payroll data. Data must be retrieved from EPAYS (or an extract file) to provide current information about the employee referred to on the SF52 and to provide historical SF52 activity (referred to as SF7 data) to assist the human resources specialist review and process the action. The system must also generate EPAYS transactions for each SF52 which has passed through all signature levels and satisfies all regulatory requirements as applied by the human resources specialist. The system should apply as many EPAYS and CPDF edits (Appendices A9, A10, A11 and A14) as possible prior to releasing the SF52 to EPAYS.

4.4.12 Edit and Validation

To ensure that SF52s processed by the system are complete and accurate, the system should perform comprehensive edits (e.g., numeric, relational, valid item, etc.) which are consistent with EPAYS and CPDF edits (Appendix A10 and the SF52 Data Dictionary). The system should also validate that all required fields for each NOAC are present (Appendix A14). A full SF52 edit should occur in conjunction with the release of the SF52 to EPAYS to reduce any risk that the generated EPAYS transactions will not pass the nightly edit routine.

4.4.13 Operating Platforms

There are 16 locations which process SF52s. The SF52 system supporting each location will require an electronic link between the human resources office and each system user within its serviced community. There is no requirement for every system user to be linked electronically across organizational boundaries. Each location must also be linked to EPAYS to send completed SF52s and to have access to personnel/payroll data (this data may be distributed). Figure 4.4.2 graphically shows the required linkages.

IBM MF RTP

EPAYS

Possible Distributed Personnel/Payroll Database

Servicing Human Resources Office 1

Servicing Human Resources Office 2

SF52 System Users

SF52 System Users

SF52 System Users

SF52 System Users

Organization 1 Organization 2 Organization 1 Organization 2
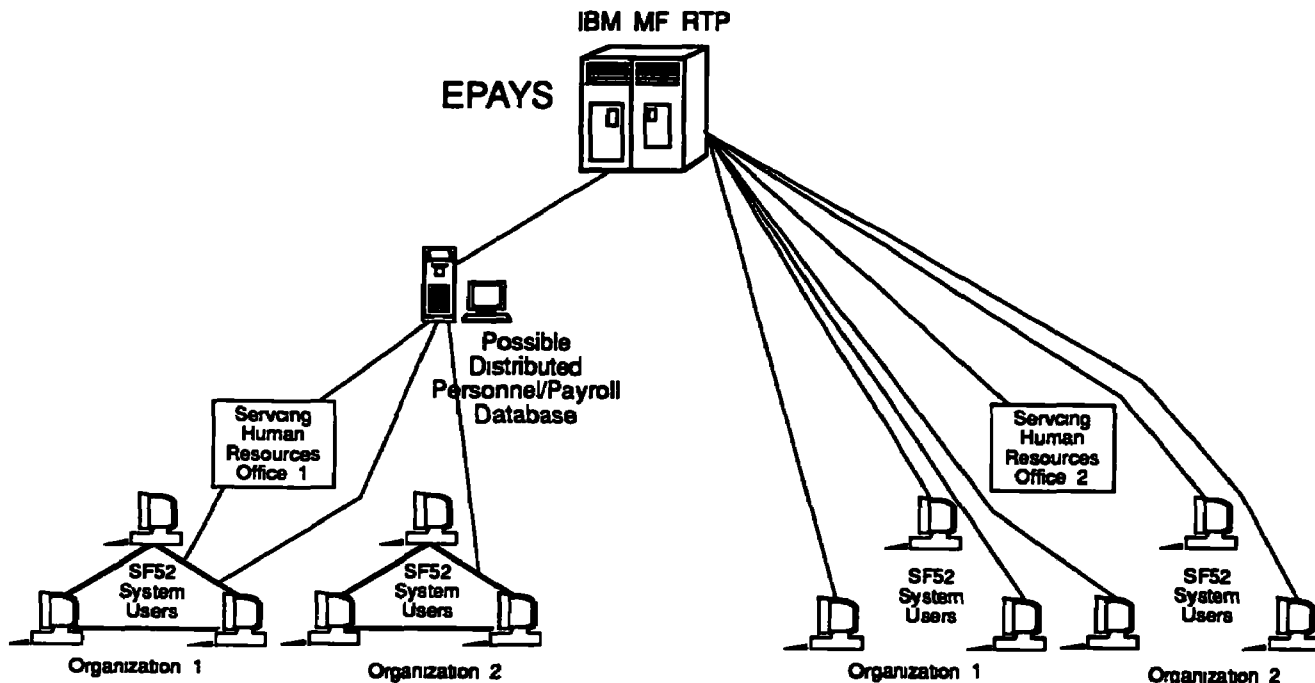
Figure 4.4.2

4.4.14 Security/Privacy

Personnel information (SSN and name) must be maintained in a secure environment as prescribed by the 1974 Privacy Act. Since the SF52 system will contain this information, adequate security must be provided in terms of access to the system as well as access to the SF52s contained in the system. Authorized system users should only have access to SF52s related to their organization. User profiles should be used to provide an adequate means of control over system and SF52 access.

In addition, the EPAYS data that will be required (e.g., distributed to Program Offices) for query and display fields on the SF52 must also be maintained in a secure environment. To minimize the need for this type of data, a minimal number of data elements should be required from the Program Offices in order to initiate a personnel action. The remaining SF52 data elements which should be retrieved from EPAYS will only be retrieved at the time the SF52 arrives in the human resources office.

However, even with a minimal number of data elements, the system will require that selected personnel data elements be accessible at the Program Office level. This data must be maintained in a secure environment which satisfies the 1974 Privacy Act.

4.4.15 Related Documents

Although the automation of the SF52 will provide a significant benefit to the Agency, there are additional supporting documents whose automation would even further enhance the overall process. Many of these documents are required for specific personnel actions (e.g., a staffing requisition form for a recruitment action or a position sensitivity analysis form when an action relates to a position which has not been previously established). These documents will continue to be sent through the internal mail system or hand-delivered. To some degree, this parallel process may impede the processing of the electronically transmitted SF52 until the required documents arrive.

Many of the documents are simple and suitable for automation. The documents could be completed electronically and appended to the SF52. The documents could be automated as future enhancements to the baseline SF52 system. Appendix A15 contains a list of additional documents which should be evaluated for future automation.

Another key document required in order to process nearly every SF52 is a Position Description (PD). The PD describes the duties and responsibilities comprising the work assignment of a position to which an employee is assigned. The automation of this document, however, would be a major undertaking.

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5.0 Award Functional Requirements

5.1 Current Environment

The current Award process within EPA is manual and relies on the internal mail system or hand-delivery to move the Award through the process. There are over 18,500 awards processed per year throughout the Agency (Appendix A5). There are 16 EPA locations which process Awards.

Cash Awards (Appendix A13) are initiated in program offices and forwarded to Human Resources once the Award has been officially authorized by the appropriate requesting office official. This signature implies that budget and any other required approvals have been secured. Figure 5.1.1 provides an overview of the Award processing flow.

Once the Award reaches the human resources office it is evaluated in terms of the regulatory requirements. If it is determined that it complies, the award is granted and, if appropriate, it is entered into EPAYS.

The data is entered into EPAYS via 3 TAPP data entry screens. EPAYS generates OPM data and an SF50, if requested.

Overview of the Award Flow
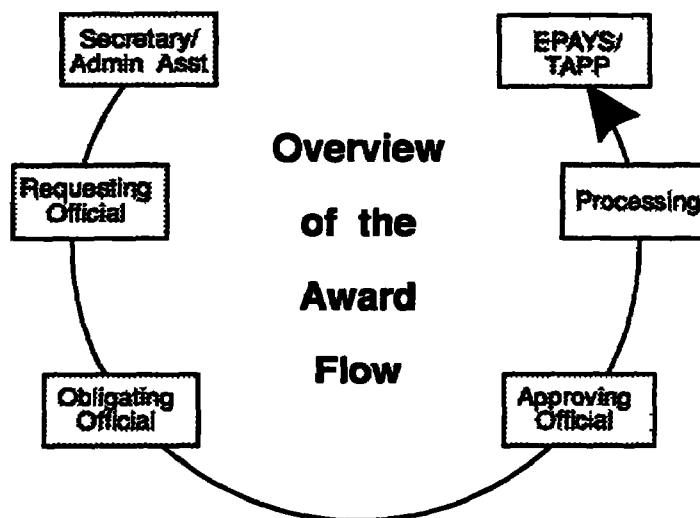
Figure 5.1.1

5.2. Scope of the Proposed System

An Award processing system for EPA should automate the entire flow of an Award within the Agency, starting with its initiation in the requesting office, through its processing in human resources, to its ultimate entry into EPAYS. The system should provide for the "paperless" initiation, processing, tracking and routing of the Award.

The objective of the award system is to reduce, if not eliminate, the need for extensive review and evaluation of the award in the human resources office. The system should perform as many regulatory edits as possible. This will require access to EPAYS and historical award information.

The system must service two distinct user groups:

1. Program Offices: This part of the system will be used by the requesting offices (i.e., program offices) to:

    A. Initiate an award.

    B. Track the movement of awards until all processing is completed and the award is effected.

    C. Produce reports of both pending and completed awards.

2. Human Resources Offices: This part of the system will be used by the servicing human resources offices.

    A. Review the award, if required.

    B. Track the receipt and processing of awards.

    C. Produce reports of both pending and completed awards.

    D. Feed the award electronically into EPAYS.

Using the Automated Award System, program offices should be able to prepare and manage their Awards interactively with the use of computer terminals or PCs. Information on Agency employees and their award history should be available from the current EPAYS master file to reduce data entry and to provide for the regulatory edits. Awards should be electronically routed to all appropriate individuals in both the program and human resources offices. Access to any award should be restricted by user "profiles" that will define the scope of access for each user of the system. The Awards should be "signed" electronically based on user profiles (in accordance with EPA standards regarding electronic signature). The system should provide additional capabilities such as:

    ❏ Tracking the progress of an Award.

    ❏ Sending courtesy copies of an Award.

    ❏ Viewing appropriate Awards.

    ❏ Deleting an Award.

The Award processing system must comply with EPA's 3130 Awards Manual and OPM requirements. The system must be "decentralized" in nature providing for use Agency-wide as a standard national administrative system for each EPA location (Headquarters, Regions and Laboratories) that process their own Awards.

The system must also comply with OIRM technical standards in terms of its programming language, data manager, telecommunications monitor and operating characteristics. The system need not necessarily be centralized and it may be desirable that certain functions operate in a local area network (LAN) environment. In fact, the different operating environments encountered throughout the Agency may require the system to operate on different platforms (e.g., a LAN for selected Regions or Program Offices and the IBM mainframe for others).

5.3 Key Operating Requirements

The Award system should automate the various phases of requesting and processing a personnel Award. The system should include the following:

1. An Award should be entered into the system at the requesting office level. The system should recognize those individuals in each program office who are authorized to initiate (input) an award, sign as a requesting official, and/or sign as an approving official.

2. The system should automatically provide current employee personnel information and edit the Award for regulatory compliance.

3. The system should allow for electronic signature.

4. The system should provide electronic forwarding of the Award between individuals who must sign the Award.

5. The system should automatically route the Award to the appropriate servicing human resources office after the approving official signs the request.

6. The system should automatically route the Award to the appropriate HR specialist (or team) for review and approval, if required.

7. The system should control input (change/update) based on the functional authority of the person attempting to update the Award.

8. The system should control the routing of the Award to specific individuals based on functional authority and other criteria that identifies the individuals authority.

9. The system should produce EPAYS update transactions for submission on a daily basis.

5.4 Award Functional Requirements

The Award requirements are documented from a perspective of the different system user types involved during the life-cycle of an Award (i.e., the point of creation of an Award until it is entered into EPAYS) and the functions which can be performed during various processes. This approach effectively identifies the flow of the Award in the system and the functionality required for the various users. Appendix A8 documents several related general system concepts which may also assist with the design and development of an Award system.

5.4.1 System User Types

The user system types reflect the stops the Award must pass through in order to gather the required data and signatures, and to comply with the required regulatory process and evaluation. The system user types include:

❑ **Viewer** - a user given the authority to receive and review a courtesy copy of the Award. The "real" Award continues on its route, it is not held while the Viewer reviews it. The Viewer does not change it, sign it and can not send it to anyone else.

❑ Initiator - a user given the authority to create/initiate an Award. The Initiator can not sign it and must send it to a Requesting Official for review and signature.

❑ Requesting Official - a user given the authority to create/initiate an Award. The Requesting Official can sign the Award for those personnel within the authorized organizational hierarchy. The system will begin tracking all activities related to the Award once it is sent by the Requesting Official.

❑ Obligating Official - a user given the authority to verify the availability of funding for the Award. The Obligating Official can sign the Award and complete the account number. The progress of the Award will be stalled while under the ownership of the Obligating Official.

❑ Approving Official - a user given the authority to approve the Award. The Approving Official must sign the Award before it can be sent to the Human Resources Office. The progress of the Award will be stalled while under the ownership of the Approving Official.

❑ Human Resource Specialist - a human resources specialist given the authority to review and approve the Award and to release it to EPAYS. The progress of the Award will be stalled while under the ownership of the human resources specialist.

❑ System Administrator - a user given authority to perform system administration functions such as maintain authority levels and relocate the ownership of an Award from one user to another.

5.4.2 Functions

The functions reflect what can be done to the Award. The functions which the system should provide include:

❑ Create Award - initiating an Award by completing all prescribed data elements with the exception of the appropriation code and personnel security.

❑ Hold Award - maintaining ownership of the Award while impeding its progress in the system. An Award being held is still considered active in the system.

❑ Discard Award - eliminating a courtesy copy from the system.

❑ Add Data - adding additional data to the Award. The data elements for which the user is given access are controlled by their authority level.

❑ Change Data - changing existing data elements previously completed on the Award. The data elements for which the user is given access are controlled by their authority level.

❏ <u>Delete Award</u> - deleting (remove) an Award from the system.

❏ <u>Sign Award</u> - electronically signing an Award.

❏ <u>Send Award</u> - forwarding an Award to the next processing stop. This may include sending courtesy copies or returning the Award to a lower level for correction or reconsideration.

❏ <u>Receive Award</u> - receiving an Award sent by another system user.

❏ <u>View Award</u> - looking at the data in an Award.

❏ <u>Print Award</u> - creating a hardcopy of the Award (the system is intended to be paperless so this function should be used infrequently, restricted or even eliminated)

❏ <u>Request Report</u> - generate reports about Awards related to ones organization

❏ <u>Release to EPAYS</u> - having the system generate the appropriate EPAYS transactions to update the EPAYS master files.

❏ <u>Request Status</u> - requesting the tracking history (i.e., activities and stops which occurred to the Award) information contained in the system for the Award.

❏ <u>Maintain Authority</u> - creating and updating information about the system users.

❏ <u>Change Award Ownership</u> - moving the Award from one user to another (e.g., when an Award is stalled because the owner is on vacation).

These functions should be controlled based on the authority level of the user. The table in Figure 5.4.1 shows the relationship between the system user types and functions.

5.4.3 Ownership Concept

To maintain the security and the integrity of the Awards being processed in the system, an "ownership" concept must be employed. This means that, like in a paper system, who ever holds an Award is the only one that can effect any changes to it while they have it. Therefore, the system should apply the same concept by "locking out" other users from accessing an Award that is not in their "electronic mailbox". For example, when an Award is initiated in the Program Office, the Award should be considered as "owned" by the user who is initiating the Award (i.e., the Award is in the user's mailbox). When an Award is "forwarded", the system should transfer ownership (i.e., the Award is now in a different individual's mailbox). Users should be notified on their screen when an Award is in their mailbox awaiting an action on their part. The system should also track who has the Award, when they received it and when they forwarded it.

Functions Cross-referenced to System User Types

Function		System User Types					
	Viewer	Initiator	Requesting Official	Obligating Official	Approving Official	Human Resources Specialist	System Administrator
Create Award		A	A				
Hold Award		O	O	O	O	O	
Discard Copy	O						
Add Data		O	O	O			
Change Data		O	O	O			
Delete Award		O	O				
Sign Award			O	O	O	O	
Send Award		O	O	O	O	O	
Receive Award	A	A	A	A	A	A	
View Copy	O						
Print Award	O	O	O	O	O	O	
Request Report	A	A	A	A	A	A	
Release to EPAYS							
Request Status	A	A	A	A	A	A	
Maintain Authority Levels							A
Change Award Ownership							A

O - Permitted function on Award during period of ownership.

A - Permitted function for those Awards related to organizational hierarchy.

Figure 5.4.1

5.4.4 System Access

Access and functional capability assigned to a user of the Award system should be controlled by a "user profile". The user profile should serve several functions:

❑ Define the authority level of the user.

❑ Control system access (system security).

❑ Direct Award forwarding and routing.

❑ Control the electronic signature process.

❑ Control access to Awards contained in the system.

A user may require several profiles in the system based on their required duties and access authority. For example, a user may be an approving official for grades 1-13 and a requesting official for grades 14 and above. The system should also control access to personnel Award and the routing of Award based on the involved users':

❏ Organization code

❏ Submitting office number

❏ Grade

Any Award that meets a user's profile parameters can be viewed or included in reports requested by that user regardless of who currently owns the Award. Also, the status of any such Award should be accessible.

5.4.5 Data Requirements

The initiation of an Award requires the following data elements:

Type of Award Being Requested
Social Security Number
Name
Period of performance (From/To)
Account Number
Tangible Amount of Benefit
Amount of Award
Hours
Justification
Person to Receive Check

Additional data elements are required to evaluate the Award. The system should retrieve the required data elements from EPAYS for purposes of the regulatory edits. These data elements include:

Time off YTD
Salary
Current Performance Rating
Cash Awards YTD

Exhibit E2 provides a "first generation" prototype with screens that contain data elements to support the various system user types. The prototype also demonstrates the flow of an Award from point of initiation through entry into EPAYS. The prototype will assist with further refinement and the design of an operational Award system.

5.4.6 Forwarding and Routing

When an Award is to be forwarded, the system should display a list of all users that the Award can be sent to (including for view only). The user should be able to select the individuals to receive the Award. Prior to forwarding, the Award should be electronically signed if appropriate. The system should validate that the user receiving the Award is authorized to get it and to perform the function for which it is being sent (e.g., the system should not allow an Award to be sent for approval to a user in the same organization but without the authority to approve it).

Anyone in the Award process should be able to send a copy of an "owned" Award to another authorized individual for signature or information purposes (i.e., courtesy copy). The forwarding of an Award to any user other than a Viewer should impede the progress of the Award, requiring that the receiver logon to the system and take positive action (including forwarding). Viewing should not stop the progress or processing of the Award since it serves as information only and should not require/allow signature or forwarding.

When "forwarding" an Award to human resources, the system should verify that all required signatures have been obtained and determine which servicing human resources office should receive the Award based on the employee's organization code. Program office personnel should be able to monitor the status of Award as they progress through the human resources organization; however, the program office should not be allowed to make changes/updates after the Award has been forwarded to the servicing human resources office. If problems exist, the servicing human resources office should return the Award to the program office.

An Award is considered to be "active" any time prior to submission to EPAYS. Once an Award has been sent to EPAYS and the EPAYS master file has been updated, the Award information should be transferred to a "history" file.

5.4.7 Electronic Signature

One of the requirements of the system will be to provide users with a secure and reliable method of approving Awards as they are passed from one system user to the next. Traditionally an Award document requires the signature of requesting officials, obligating official and approving officials. In the system, an electronic signature function will be required to record the approval of these individuals. The system should maintain a record of the signatures to support regulatory documentation, audit and historical reporting requirements. Electronic signature should comply with EPA standards (an EPA committee is in the process of defining electronic signature standards) and be approved by OPM as a legal technique for the signature of Award documents created and processed electronically. Note: The prototypes contained herein have electronic signature functions, however, they were developed prior to an Agency standard and are not considered adequate for the purposes of a production system.

5.4.8 Identification of an Award

A "control number" should be used by the Award system to uniquely identify each Award. This

number should be system generated upon completion of initial data entry. Once an Award is recorded in the system, it should be accessible by:

❑ Selecting the Award from a list presented by the system.

❑ Using the control number.

❑ Selecting the Award by the SSN or Name, if available.

5.4.9 Tracking

In the context of the Award system, tracking means maintaining a record of all movements of the Award within the system. Tracking should begin at the point that a Requesting Official sends it. It should provide a clear record of what has happened to the Award, who signed it, who presently has the Award, and how long each user had it. Awards kept more than a reasonable amount of time should be periodically identified. The system should analyze the time frames that records are being held by users and print "redline" analysis or send ticklers to notify users to take action. Notification of delayed Awards should be presented on the user's screen in the form of a message.

The following events, at a minimum, should be recorded for purposes of tracking an Award:

> Date originated in the Program Office
> Date approved in the Program Office
> Date of 2nd level approval in Program Office
> Date of budget approval
> Date received in human resources office
> Date to EPAYS/TAPP

5.4.10 Reporting

The system must produce tracking, workload, statistical, historical and management reports. The system must also support program office inquiries for status information on Awards currently in-process. The system should provide an ad hoc reporting capability to allow users to request listings and information about the Awards processed in the system (e.g., the number of Award processed for a specific program office). The majority of the reporting requirements of the system should be met through the ad hoc reporting facility. The following lists several standardized reports which should be available from the system:

> History of an Award
> Summary of Completed Awards by Organization
> Completed Awards by Organization
> Completed Awards by Individual
> Awards Being Held in Excess of xx Days
> Completed Awards by Type
> Open Awards By Type

Open Awards by Individual

5.4.11 System Interfaces

The Award system will require an interface with EPAYS, the major repository of EPA personnel/ payroll data. Data must be retrieved from EPAYS (or an extract file) to provide current information about the employee referred to on the Award and to provide historical Award activity to permit the system perform the regulatory edits. The system must also generate EPAYS transactions for each Award which has passed through all signature levels and satisfies all regulatory requirements as applied by the system and human resources specialist.

5.4.12 Edit and Validation

To ensure that Awards processed by the system are complete and accurate, the system should perform edits (e.g., numeric, relational, valid item, etc.) which are consistent with the regulatory requirements.

5.4.13 Operating Platforms

There are 16 locations which process Awards. The Award system supporting each location will require an electronic link between the human resources office and each system user within its serviced community. There is no requirement for every system user to be linked electronically across organizational boundaries. Each location must also be linked to EPAYS to send completed Awards and to have access to personnel/payroll data (this data may be distributed). Figure 5.4.2 graphically shows the required linkages.

5.4.14 Security/Privacy

Personnel information (SSN and name) must be maintained in a secure environment as prescribed by the 1974 Privacy Act. Since the Award system will contain this information, adequate security must be provided in terms of access to the system as well as access to the Awards contained in the system. Authorized system users should only have access to Awards related to their organization. User profiles should be used to provide an adequate means of control over system and Award access.

In addition, the EPAYS data that will be required (e.g., distributed to Program Offices) for query, regulatory edits and display fields on the Award must also be maintained in a secure environment. This data must be maintained in a secure environment which satisfies the 1974 Privacy Act.
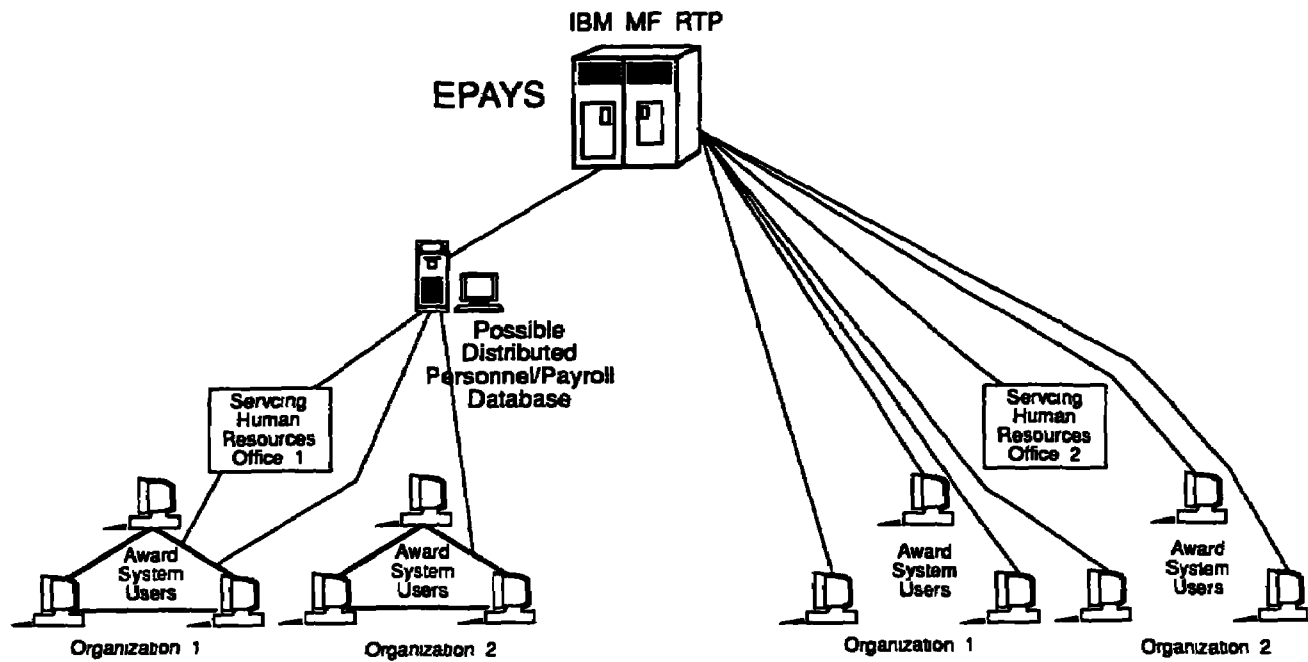
Figure 5.4.2

Intentionally left blank.

Appendix A1
EPARSS Functional Decomposition Diagram

Applicant
Tracking
P

Benefit
Administration
P

Disciplinary
Actions
P

Reorganization
P

Realignment
P

Mass
Transfer
P

Prepare
GARL
P

Process
to
EPAYS/TAP
P

Prepare
GARL
P

Process
to
EPAYS/TAP
P

Detail & Misc Job
Change
P

Conversion
P

Reassign

EPAI

Program
Request
for
Service P

Process
SF52s P

Change
Status P

Recruit P

signment P

Separation P

Misc.
Change P

Promotion P

Competitive P

Career
Ladder P

Temporary
Promotion P

Accretion P

Register P

Direct
Hire P

MPP P

DEU P

Trans

EPARSS

P

Awards

P

Process
EPA3130

P

Process
On-the-Spot

P

Process
Honor

P

Process
SES
Awards

P

Training
Administration

P

Validate
Training
Registration

P

Process
SF182

P

Process
1-page
Registration

P

Non-Competitive

P

Transfer

P

Reinstatement

P

Temporary
Appointment

P

Other
Non-Comp
Appointment

P

Process
Cost
Training

P

HR
Initiated
Actions
P

Retirement
Administration
P

Labor/Emp
Relations
&
Counseling

Career
Ladder
Certification
P

Within
Grade
Increase
P

Performance
Data
P

Probation
Certificates
P

Retirement
Projection
P

Retirement
Counseling
P

Change
Retirement
Systems
P

Process
Retirement
P

Process
No-cost
Training
P

d s P		on tes P		Pay Adjustmen P		Service Computatio Date P		Orientation P		Admin & Corrections P

NACI Process P

Appendix A2
EPARSS Functional Decomposition Diagram
Definitions

ıcess: Accretion

Definition
An increase in the job duties and responsibilities which result in a
bonus, promotion, within grade step increase and/or a reclassification
of the position.

PROPERTY	VALUE	
Last Update	1991/11/26 10:50 NEWUSER	
Created	1991/11/21 12:28:04 NEWUSER	

ASSOCIATION	TYPE	NAME
Is Part Of	Process	Promotion

Process: Admin and Corrective Actions

PROPERTY	VALUE
Last Update	1992/03/27 19:57 NEWUSER
Created	1992/03/27 19:57:51 NEWUSER

ASSOCIATION	TYPE	NAME

Process: Applicant Tracking

Definition
The process of tracking "unsolicited" applicants which have applied for
a job or have sent a resume/SF171 to EPA. These may result from job
fairs, mail-ins, etc.

PROPERTY	VALUE
Last Update	1991/11/26 14:16 NEWUSER
Created	1991/11/08 09:23:16 NEWUSER

ASSOCIATION	TYPE	NAME
Is Part Of	Process	EPARSS

Process: Awards

Definition
The processing of awards, either monetary or in a written form, which
are given to employees for exemplary service or performance.

ıledgeWare, Inc.

PROPERTY	VALUE
Last Update	1991/11/26 08:17 NEWUSER
Created	1991/11/15 13:28:13 NEWUSER

ASSOCIATION	TYPE	NAME
Consists of	Process	Process SES Awards
		Process Honor
		Process On-the-Spot
		Process EPA3130
Is Part Of	Process	Program Request for Service

Process: Benefit Administration

Definition
Personnel actions that support the choice and assignment of employee
benefits such as health insurance, disability insurance, life
insurance, sick leave, etc.

PROPERTY	VALUE
Last Update	1992/03/27 20:15 NEWUSER
Created	1991/11/08 09:07:24 NEWUSER

ASSOCIATION	TYPE	NAME
Is Part Of	Process	Program Request for Service

Process: Career Ladder

Definition
A pre-defined increase which an employee is entitled to as a result of
satisfying the length of service and performance requirements of the
position.

PROPERTY	VALUE
Last Update	1991/11/26 10:53 NEWUSER
Created	1991/11/08 09:38:28 NEWUSER

ASSOCIATION	TYPE	NAME
Is Part Of	Process	Promotion

Process: Career Ladder Certification

Definition

KnowledgeWare, Inc.

   This process is initiated by OHRM/HROs to move an employee from their
   existing grade to the next grade when the length of time and
   performance requirements in a career ladder position have been
   satisfied.

   PROPERTY   VALUE

   Last Update   1991/12/05 17:52 NEWUSER
   Created   1991/11/15 12:55:39 NEWUSER

   ASSOCIATION   TYPE   NAME

   Is Part Of   Process   HR Initiated Actions

Process: Change Retirement Systems

   Definition
   The processing of an action to transfer an employee from one
   retirement benefit program to another (i.e., prior retirement program
   to FERS).

   PROPERTY   VALUE

   Last Update   1991/11/26 09:54 NEWUSER
   Created   1991/11/15 12:48:47 NEWUSER

   ASSOCIATION   TYPE   NAME

   Is Part Of   Process   Retirement Administration

Process: Change Status

   Definition
   Processing of personnel actions consisting of details, miscellaneous
   job changes, conversions, reassignments, separations and miscellaneous
   changes

   PROPERTY   VALUE

   Last Update   1992/03/29 08:11 NEWUSER
   Created   1991/12/05 18:04:21 NEWUSER

   ASSOCIATION   TYPE   NAME

   Consists of   Process   Promotion
                                                      Misc. Change
                                                      Separation
                                                      Reassignment
                                                      Conversion
                                                      Detail & Misc Job Change
   Is Part Of   Process   Process SF52s

KnowledgeWare, Inc.

Process: Competitive

Definition
All civilian positions in the Federal Government that are not
specifically excepted from the Civil Service laws by or under statute,
by the President, or by OPM under Rules VI or IX

PROPERTY	VALUE
Last Update	1992/03/27 20:18 NEWUSER
Created	1991/12/05 18:05:32 NEWUSER

ASSOCIATION	TYPE	NAME
Consists of	Process	DEU
		MPP
		Register
		Direct Hire
Is Part Of	Process	Recruit

Process: Conversion

Definition
The transfer of an employee from one appointment to another appoinment
within the Agency without a break in service in excess of three days.

PROPERTY	VALUE
Last Update	1991/11/26 11:53 NEWUSER
Created	1991/11/26 11:50:45 NEWUSER

ASSOCIATION	TYPE	NAME
Is Part Of	Process	Change Status

Process: Detail & Misc Job Change

Definition
A temporary assignment of an employee to a different position for a
specified period of time, with the employee returning to their regular
duties at the end of the detail

PROPERTY	VALUE
Last Update	1992/03/27 20:05 NEWUSER
Created	1991/12/05 18:16:28 NEWUSER

ASSOCIATION	TYPE	NAME
Is Part Of	Process	Change Status

Process: DEU

    Definition
    The Office of Personnel Management approval to operate a specific
    official position series recruiting, testing and hiring facility

    PROPERTY   VALUE

    Last Update   1992/03/29 09:00 NEWUSER
    Created   1991/12/05 18:08:37 NEWUSER

    ASSOCIATION   TYPE   NAME

    Is Part Of   Process   Competitive

Process: Direct Hire

    Definition
    OPM approved Agency recruiting plan which expedites the recruitment of
    persons for appointments to positions in shortage occupations

    PROPERTY   VALUE

    Last Update   1992/03/27 20:07 NEWUSER
    Created   1991/12/05 18:07:10 NEWUSER

    \SSOCIATION   TYPE   NAME

    Is Part Of   Process   Competitive

Process: Disciplinary Actions

    Definition
    The processing of disciplinary actions being brought against employees
    who have violated Agency or Federal rules or who have demonstrated
    unsatisfactory performance.

    PROPERTY   VALUE

    Declared Root   N
    Last Update   1991/11/26 09:13 NEWUSER
    Created   1991/11/08 09:06:09 NEWUSER

    ASSOCIATION   TYPE   NAME

    Is Part Of   Process   Program Request for Service

Process: EPARSS

    Definition

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The EPA Personnel Action Request and Servicing System (EPARSS) is the
component of the Integrated Human Resources System (IHRS) which
automates all incoming requests for human resources services. The scope
of the system includes the automation of the request from the point of
the initiation in the program office through its processing in
OHRM/HR Offices until it is entered automatically into the EPAYS/TAPP
system.

PROPERTY	VALUE
Declared Root	Y
Last Update	1991/11/26 14:26 NEWUSER
Created	1991/11/08 09:24:21 NEWUSER

ASSOCIATION	TYPE	NAME
Involves	Entity Type	History, SF52 Processing
		SF52
		SF182
		Awards SF3130
		Performance Appraisal
		GARL
		Benefit
		Course Registration
		Course Catalog
		Training Costs
		Training History
		Employee
		NOA History
		Applicant
		Vacancy Announcement
		Position Description
		Positions
		1-page Registration
		Pending Training Registration
		Pending SF52 Action
	Relationship Type	NOA History Tracks Actions Related to Employee
		Awards SF3130 Given to Employe
		Awards SF3130 Recorded in NOA History
		Training History Has Training Costs
		SF182 Requests training for Employee
		Course Registration Registers from SF182
		Applicant May become an Employ

e

Employee Has a Positions

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Vacancy Announcement Initiated
    by SF52
Positions Have Position
    Description
Applicant Apply for Positions
Applicant Apply to Vacancy
    Announcement
Course Registration Registers
    for Course Catalog
Employee Have Benefit
SF52 Effects Employee
Performance Appraisal Describe

    Employee
History, SF52 Processing Track

    SF52
Employee Has Training History
SF182 Creates Training History
Position Description Decribes
    duties of Employee
Employee Effected by GARL
Vacancy Announcement Duties
    described by Position
    Description
NOA History Created by SF52
Performance Appraisal Creates
    NOA History
Employee Generates 1-page
    Registration
1-page Registration Registers
    Course Registration
1-page Registration Generates
    Training History
NOA History Created by GARL
Pending SF52 Action Created by
    SF52
SF182 Creates Pending Training
    Registration
1-page Registration Creates
    Pending Training Registrati
n

SF52 Change Position Descripti
n
    Consists of   Process   HR Initiated Actions
                                          Program Request for Service
                                          Applicant Tracking

Process: HR Initiated Actions

    Definition

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This includes the processes involved with the initiation of personnel actions by OHRM/HR Offices which result in SF52s. For example, automatically informing employees of their eligibility for certain increases.

PROPERTY	VALUE
Last Update	1991/12/05 17:47 NEWUSER
Created	1991/11/15 12:53:18 NEWUSER

ASSOCIATION	TYPE	NAME
Consists of	Process	Probation Certificates
		Performance Data
		Career Ladder Certification
		Within Grade Increase
		Orientation
		Pay Adjustment
		Service Computation Date
Is Part Of	Process	EPARSS

Process: Labor/Emp Relations & Counseling

Definition
The conduct of union negotiations throughout the agency, the active participation and involvement in establishing programs that improve the morale and welfare of EPA employees and the provision of alcohol and drug abuse counseling and support

PROPERTY	VALUE
Last Update	1992/03/27 20:12 NEWUSER
Created	1991/12/05 18:00:56 NEWUSER

ASSOCIATION	TYPE	NAME
Is Part Of	Process	Program Request for Service

Process: Mass Transfer

Definition
The processing of an action which transfers an external organizational unit into EPA. This action results in the incorporation of new employees within the Agency. Group Action Request Lists (GARL) are prepared to execute the mass transfer of the new employees to the Agency.

PROPERTY	VALUE
Last Update	1991/11/26 09:21 NEWUSER
Created	1991/11/21 12:21:56 NEWUSER

ASSOCIATION	TYPE	NAME
Consists of	Process	Process to EPAYS/TAPP
		Prepare GARL
Is Part Of	Process	Reorganization

Process: Misc. Change

Definition
The processing of actions considered "simple" in nature which require
some limited classification or staffing function for their execution.

PROPERTY	VALUE
Last Update	1991/11/26 14:19 NEWUSER
Created	1991/11/08 11:12:40 NEWUSER

ASSOCIATION	TYPE	NAME
Is Part Of	Process	Change Status

Process: MPP

Definition
The consideration of an employee for a vacant position on the basis of
personal merit. Vacant positions are normally filled through
 competition with applicants being evaluated and ranked for the position
based on their experience, education, skills and performance record

PROPERTY	VALUE
Last Update	1992/03/29 08:22 NEWUSER
Created	1991/12/05 18:08:36 NEWUSER

ASSOCIATION	TYPE	NAME
Is Part Of	Process	Competitive

Process: NACI Process

Definition
The investigation of applicants and new employees for
non-sensitive/low-risk Federal positions by means of a mame check
through national investigative files and voucher inquiries

PROPERTY	VALUE
Last Update	1992/03/29 08:26 NEWUSER
Created	1991/11/15 12:52:44 NEWUSER

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ASSOCIATION	TYPE	NAME
Is Part Of	Process	Orientation

Process: Non-Competitive

Definition
Personnel actions based on prior service and made without regard to
Civil Service registers of eligibles or to the priorities required for
making temporary appointments outside the register

PROPERTY	VALUE
Last Update	1992/03/29 08:17 NEWUSER
Created	1991/12/05 18:05:33 NEWUSER

ASSOCIATION	TYPE	NAME
Consists of	Process	Temporary Appointment
		Reinstatement
		Transfer
		Other Non-Comp Appointment
Is Part Of	Process	Recruit

Process: Orientation

Definition
The initial processing of a new employee to include the explanation of
the various benefits that are available, the review of Civil Service
plicies and procedures, the review of Agency policies such as work
hours, time off, travel, and the preparation of NACI forms

PROPERTY	VALUE
Last Update	1992/03/29 08:47 NEWUSER
Created	1991/12/05 17:54:13 NEWUSER

ASSOCIATION	TYPE	NAME
Consists of	Process	NACI Process
Is Part Of	Process	HR Initiated Actions

Process: Other Non-Comp Appointment

Definition
Personnel actions based on prior service and made without regard to
Civil Service registers or to the priorities required for making
temporary appointments outside the register

PROPERTY	VALUE

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        Last Update   1992/03/29 08:56 NEWUSER
        Created   1992/03/21 13:09:52 NEWUSER

        ASSOCIATION   TYPE   NAME

        Is Part Of   Process   Non-Competitive

Process: Pay Adjustment

        Definition
        Any increase or decrease in an employees rate of basic pay when there
        is no change in the duties and responsibilities of the employees
        position. A pay adjustment may include a change in the employee's step
        or a change in the system under which the employee is paid

        PROPERTY   VALUE

        Last Update   1992/03/29 09:02 NEWUSER
        Created   1991/12/05 17:54:12 NEWUSER

        ASSOCIATION   TYPE   NAME

        Is Part Of   Process   HR Initiated Actions

Process: Performance Data

        Definition
        `pecific NOAC's related to an individuals current performance level
        ₃uch as a PMRS denial within-grade (891) or a performance level update
        (009)

        PROPERTY   VALUE

        Last Update   1992/03/29 08:50 NEWUSER
        Created   1991/11/15 12:55:39 NEWUSER

        ASSOCIATION   TYPE   NAME

        Is Part Of   Process   HR Initiated Actions

Process: Prepare GARL

        Definition
        The preparation of the Group Action Request List (GARL) to execute the
        mass transfer of employees.

        PROPERTY   VALUE

        Last Update   1991/11/26 14:20 NEWUSER
        Created   1991/11/23 10:31:41 NEWUSER

ASSOCIATION	TYPE	NAME
Is Part Of	Process	Mass Transfer Realignment

Process: Probation Certificates

Definition
The process within OHRM/HR Offices for the automatic preparation of a probation certificate for employees which have satisfied the length of service and performance requirements of their probationary period.

PROPERTY	VALUE
Last Update	1991/11/26 14:30 NEWUSER
Created	1991/11/15 12:55:40 NEWUSER

ASSOCIATION	TYPE	NAME
Is Part Of	Process	HR Initiated Actions

Process: Process 1-page Registration

Definition
The processing of the 1-page registration form used to register employees for in-house training courses. The courses may be cost or no-cost type courses. The 1-page forms are compiled onto Group Training Forms (which become the registration lists for the course).

PROPERTY	VALUE
Last Update	1991/11/26 08:52 NEWUSER
Created	1991/11/19 10:56:47 NEWUSER

ASSOCIATION	TYPE	NAME
Consists of	Process	Process No-cost Training Process Cost Training
Is Part Of	Process	Validate Training Registration

Process: Process Cost Training

Definition
The processing of 1-page registration forms for internal courses which cost the "employee" to attend. The form requires accounting information which must be provided to finance.

PROPERTY	VALUE
Last Update	1991/11/26 14:20 NEWUSER
Created	1991/11/19 10:56:45 NEWUSER

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ASSOCIATION	TYPE	NAME
Is Part Of	Process	Process 1-page Registration

Process: Process EPA3130

Definition
The processing of awards recorded via form EPA3130. These awards
include Special Acts, Sustained Superior Performance, QSI and Time-off.

PROPERTY	VALUE
Last Update	1992/03/30 13:18 NEWUSER
Created	1991/11/23 10:39:50 NEWUSER

ASSOCIATION	TYPE	NAME
Is Part Of	Process	Awards

Process: Process Honor

Definition
The processing of a Honor award.

PROPERTY	VALUE
Last Update	1991/11/26 08:33 NEWUSER
Created	1991/11/23 10:39:51 NEWUSER

ASSOCIATION	TYPE	NAME
Is Part Of	Process	Awards

Process: Process No-cost Training

Definition
The processing of 1-page resistration forms for internal courses which
have no costs associated with attendence.

PROPERTY	VALUE
Last Update	1991/11/26 08:56 NEWUSER
Created	1991/11/19 10:56:46 NEWUSER

ASSOCIATION	TYPE	NAME
Is Part Of	Process	Process 1-page Registration

Process: Process On-the-Spot

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Definition
The processing of ON THE SPOT awards which were given to employees for
a special performance.

PROPERTY	VALUE	
Last Update	1991/11/26 08:31 NEWUSER	
Created	1991/11/23 10:39:50 NEWUSER	
ASSOCIATION	TYPE	NAME
Is Part Of	Process	Awards

Process: Process Retirement

Definition
The processing of a personnel action which retires or seperates an
employee from duty at the Agency under circumstances which entitles
them to an immediate annuity.

PROPERTY	VALUE	
Last Update	1991/11/26 14:21 NEWUSER	
Created	1991/11/15 12:48:48 NEWUSER	
ASSOCIATION	TYPE	NAME
Is Part Of	Process	Retirement Administration

Process: Process SES Awards

Definition
The processing of awards, such as Bonus, SES Performance or SES Rank
(meritorious and distinguished service), for SES employees.

PROPERTY	VALUE	
Last Update	1992/03/30 13:20 NEWUSER	
Created	1991/11/23 10:39:52 NEWUSER	
ASSOCIATION	TYPE	NAME
Is Part Of	Process	Awards

Process: Process SF182

Definition
The processing of an SF182 requesting registration for external
training or the Project Officer Course. This process includes the

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distribution of the forms and the validation that the course was
actually taken by the employee before notification of Finance for
payment.

PROPERTY	VALUE	
Last Update	1991/11/26 08:46 NEWUSER	
Created	1991/11/19 10:56:46 NEWUSER	

ASSOCIATION	TYPE	NAME
Is Part Of	Process	Validate Training Registration

Process: Process SF52s

Definition
The processing of personnel actions recorded on SF52s.

PROPERTY	VALUE	
Last Update	1991/11/26 09:36 NEWUSER	
Created	1991/11/23 10:08:56 NEWUSER	

ASSOCIATION	TYPE	NAME
Consists of	Process	Recruit
		Change Status
Is Part Of	Process	Program Request for Service

Process: Process to EPAYS/TAPP

Definition
The final review of the personnel action and the entry of it into
EPAYS/TAPP. EPAYS/TAPP prints the SF50 which is then reviewed to
ensure that it matches the personnel action which initiated it.

PROPERTY	VALUE	
Last Update	1991/11/26 09:24 NEWUSER	
Created	1991/11/23 10:16:10 NEWUSER	

ASSOCIATION	TYPE	NAME
Is Part Of	Process	Mass Transfer
		Realignment

Process: Program Request for Service

Definition
The processing of all personnel requests for service including SF52s,
SF182s, awards, etc.

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PROPERTY	VALUE	
Last Update	1991/12/05 17:46 NEWUSER	
Created	1991/11/26 16:48:18 NEWUSER	

ASSOCIATION	TYPE	NAME
Consists of	Process	Benefit Administration
		Disciplinary Actions
		Training Administration
		Retirement Administration
		Reorganization
		Awards
		Labor/Emp Relations & Counseli

g

		Process SF52s
Is Part Of	Process	EPARSS

Process: Promotion

Definition
The change of an employee to a higher grade within the same job
classification system and pay schedule or to a position with a higher
rate of basic pay in a different job classification system and pay
schedule.

PROPERTY	VALUE	
Last Update	1991/11/26 10:42 NEWUSER	
Created	1991/11/08 09:28:56 NEWUSER	

ASSOCIATION	TYPE	NAME
Consists of	Process	Accretion
		Temporary Promotion
		Career Ladder
Is Part Of	Process	Change Status

Process: Realignment

Definition
The processing of reorganization packages approved by MOD. This
results in the realignment of an organization and the transfer of the
employees from the old organizational unit to the new one. Group Action
Request Lists (GARL) are prepared to execute the mass transfer.

PROPERTY	VALUE	
Last Update	1991/11/26 09:18 NEWUSER	
Created	1991/11/21 12:21:56 NEWUSER	

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ASSOCIATION	TYPE	NAME
Consists of	Process	Process to EPAYS/TAPP
		Prepare GARL
Is Part Of	Process	Reorganization

Process: Reassignment

Definition
The change of an employee from one position to another without
promotion or change to a lower grade.

PROPERTY	VALUE
Last Update	1991/11/26 10:14 NEWUSER
Created	1991/11/08 09:30:19 NEWUSER

ASSOCIATION	TYPE	NAME
Is Part Of	Process	Change Status

Process: Recruit

Definition
The processing of actions which require the advertisement of a position
'nd the evaluation of the candidates applying to fill the position.

PROPERTY	VALUE
Last Update	1991/11/26 14:24 NEWUSER
Created	1991/11/08 09:28:41 NEWUSER

ASSOCIATION	TYPE	NAME
Consists of	Process	Non-Competitive
		Competitive
Is Part Of	Process	Process SF52s

Process: Register

PROPERTY	VALUE
Last Update	1991/12/05 18:08 NEWUSER
Created	1991/12/05 18:08:36 NEWUSER

ASSOCIATION	TYPE	NAME
Is Part Of	Process	Competitive

Process: Reinstatement

PROPERTY	VALUE	
Last Update	1991/12/05 18:07 NEWUSER	
Created	1991/12/05 18:07:11 NEWUSER	

ASSOCIATION	TYPE	NAME
Is Part Of	Process	Non-Competitive

Process: Reorganization

Definition
The processing of group actions resulting from the reorganization of an ogranizational unit within EPA approved by MOD, legislated change, Presidential orders, etc. These changes typically result in mass transfers affecting numerous employees.

PROPERTY	VALUE	
Last Update	1991/11/26 09:12 NEWUSER	
Created	1991/11/08 09:34:14 NEWUSER	

ASSOCIATION	TYPE	NAME
Consists of	Process	Mass Transfer Realignment
Is Part Of	Process	Program Request for Service

Process: Retirement Administration

Definition
The processing of a personnel action which affects retirement or the retirement benefits of an employee.

PROPERTY	VALUE	
Last Update	1991/11/26 14:24 NEWUSER	
Created	1991/11/08 14:16:55 NEWUSER	

ASSOCIATION	TYPE	NAME
Consists of	Process	Process Retirement Change Retirement Systems Retirement Counseling Retirement Projection
Is Part Of	Process	Program Request for Service

Process: Retirement Counseling

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Definition
The process of counseling employees on the annuity benefits and options
which they are eligible for upon retirement.

PROPERTY	VALUE	
Last Update	1991/11/26 09:55 NEWUSER	
Created	1991/11/15 12:48:47 NEWUSER	

ASSOCIATION	TYPE	NAME
Is Part Of	Process	Retirement Administration

Process: Retirement Projection

Definition
The process of calculating a projection of the retirement benefits to
which an employee would be eligible for upon retirement at a specified
point in time or age.

PROPERTY	VALUE	
Last Update	1991/11/26 09:57 NEWUSER	
Created	1991/11/15 12:48:46 NEWUSER	

ASSOCIATION	TYPE	NAME
₁s Part Of	Process	Retirement Administration

Process: Separation

Definition
The processing of actions which remove an employee from the rolls of
the Agency without the eligibility of an immediate annutiy. These
actions include resignation, discharge, death, and termination.

PROPERTY	VALUE	
Last Update	1991/11/26 10:35 NEWUSER	
Created	1991/11/08 09:30:41 NEWUSER	

ASSOCIATION	TYPE	NAME
Is Part Of	Process	Change Status

Process: Service Computation Date

Definition
The date, either actual or constructed, which is used to determine
leave accrual rate, length of service for retirement, or retention

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standing for a RIF. Prior creditable civilian or military service is
used in establishing the Service Computation Date

PROPERTY   VALUE

Last Update   1992/03/29 08:36 NEWUSER
Created   1991/12/05 17:54:11 NEWUSER

ASSOCIATION   TYPE   NAME

Is Part Of   Process   HR Initiated Actions

Process: Temporary Appointment

    Definition
    An appointment made for a limited period of time and with a specific,
    predetermined not-to-exceed date

PROPERTY   VALUE

Last Update   1992/03/29 08:38 NEWUSER
Created   1991/12/05 18:07:11 NEWUSER

ASSOCIATION   TYPE   NAME

Is Part Of   Process   Non-Competitive

Process: Temporary Promotion

    Definition
    A temporary change in position for a limited time period and with a
    not-to-exceed date.

PROPERTY   VALUE

Last Update   1991/12/05 18:07 NEWUSER
Created   1991/11/08 09:37:48 NEWUSER

ASSOCIATION   TYPE   NAME

Is Part Of   Process   Promotion

Process: Training Administration

    Definition
    The processing of training actions for employees requesting to attend
    either in-house or external training courses/programs. These requests
    are typically recorded on an SF182 for external courses or a 1-page
    registration form for in-house training.

PROPERTY	VALUE
Last Update	1991/11/26 08:39 NEWUSER
Created	1991/11/08 09:03:01 NEWUSER

ASSOCIATION	TYPE	NAME
Consists of	Process	Validate Training Registration
Is Part Of	Process	Program Request for Service

Process: Transfer

Definition
A change of an employee, without a break in service of one full
workday, from a position in one agency to a position in another
agency. These actions are normally processed as a termination by the
losing agency and as a transfer by the gaining agency

PROPERTY	VALUE
Last Update	1992/03/29 08:43 NEWUSER
Created	1991/12/05 18:07:09 NEWUSER

ASSOCIATION	TYPE	NAME
Is Part Of	Process	Non-Competitive

..ess: Validate Training Registration

Definition
The process of reviewing the course registration (SF182 or 1-page
registration) request to ensure that required accounting, course and
employee data has been recorded.

PROPERTY	VALUE
Last Update	1991/11/26 08:41 NEWUSER
Created	1991/11/19 10:56:44 NEWUSER

ASSOCIATION	TYPE	NAME
Consists of	Process	Process 1-page Registration
		Process SF182
Is Part Of	Process	Training Administration

Process: Within Grade Increase

Definition
This process is initiated by OHRM/HR Offices to increase an employee's
rate of basic pay by advancement from one step of grade to the next

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after the employee meets the requirements for length of service and
performance.

PROPERTY	VALUE	
Last Update	1991/11/26 14:36 NEWUSER	
Created	1991/11/15 12:55:38 NEWUSER	

ASSOCIATION	TYPE	NAME
Is Part Of	Process	HR Initiated Actions

.

Appendix A3
EPARSS Entity Relationship Diagram

SF52

His 52

Performan ce Apprais

Awards SF3130

Pending S F52 Action

NOA History

GARL

Employee

Applicant

Positions

Vacancy A nnouncem

Training Costs

Position Description

History SF
52 Process

Benefit

SF182

Training
History

Course
Registration

Pending T
raining Reg

Course
Catalog
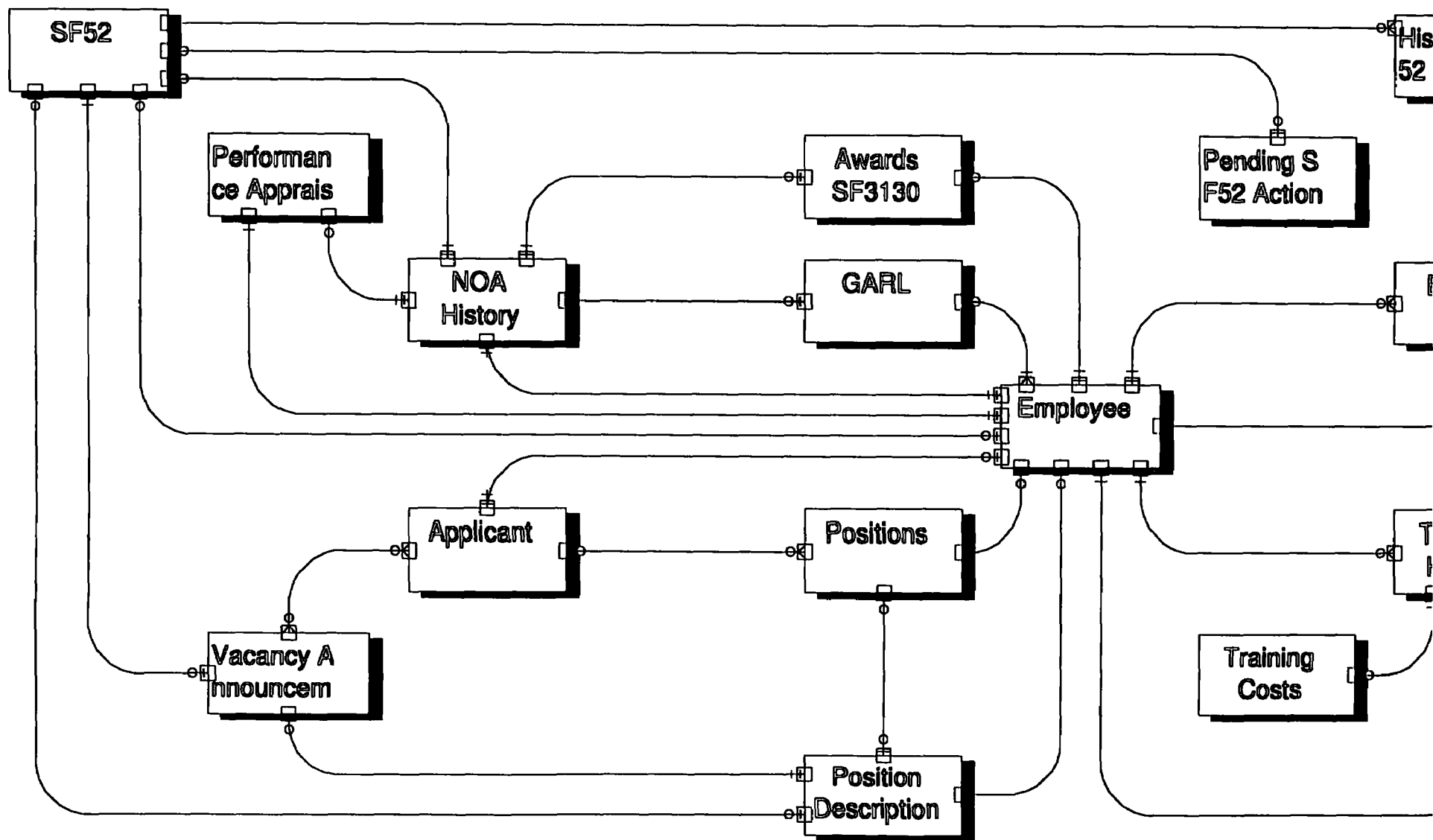
1-page
Registration
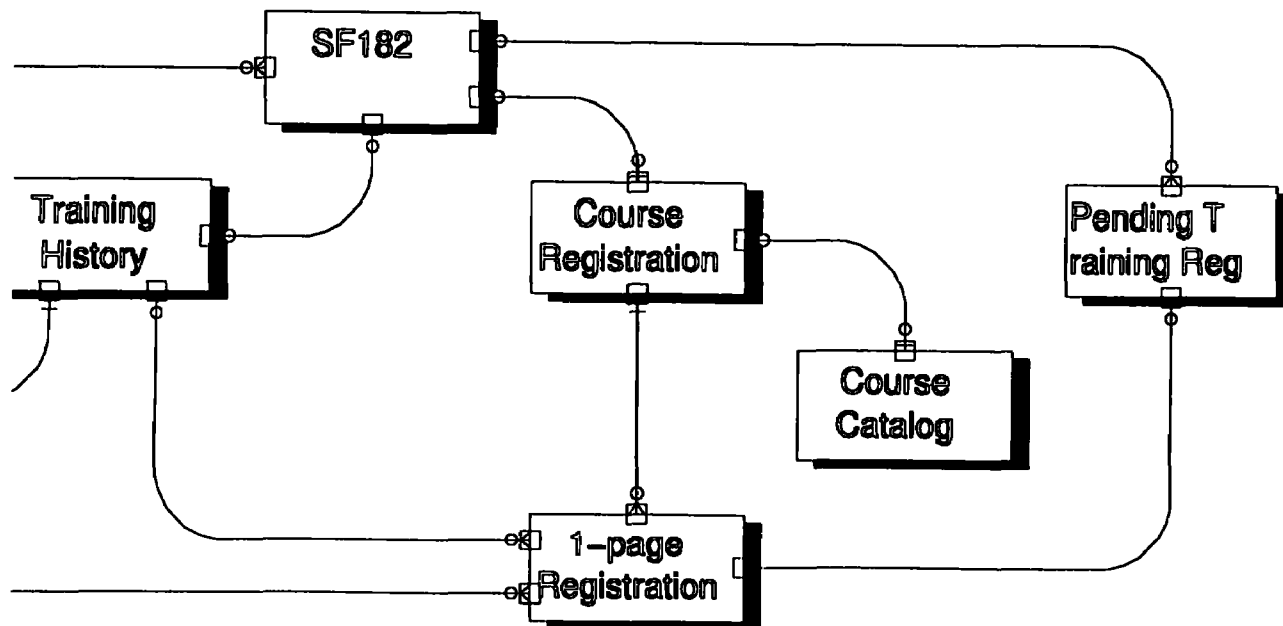
Appendix A4
EPARSS Entity Relationship Diagram Definitions

tity Type: 1-page Registration

Definition
The simplified and quick 1-page form that is filled out by employees
and used by the Training staff to register EPA employees for in-house
training of no cost courses. Data from the 1-page forms is then
transcribed onto Group Training Forms which then become course
registration lists.

PROPERTY	VALUE	
Purpose	FUNDAMENTAL	
Last Update	1992/03/27 19:01 NEWUSER	
Created	1991/11/21 10:16:17 NEWUSER	

ASSOCIATION	TYPE	NAME
Registers	Entity Type	Course Registration
Generates	Entity Type	Training History
Creates	Entity Type	Pending Training Registration
Is Involved in	Process	EPARSS
Registers	Entity Type	Employee

Entity Type: Applicant

Definition
Individuals that ask to be considered for a job with an agency. These
individuals may be a current employee of the agency, an employee of
another agency, or not currenly employed by any agency.

PROPERTY	VALUE	
Purpose	FUNDAMENTAL	
Last Update	1992/03/27 19:04 NEWUSER	
Created	1991/11/15 15:21:57 NEWUSER	

ASSOCIATION	TYPE	NAME
May become an	Entity Type	Employee
Apply for	Entity Type	Positions
Apply to	Entity Type	Vacancy Announcement
Is Involved in	Process	EPARSS

Entity Type: Awards SF3130

Definition
The SF3130 Form is the vehicle to record information which is used to

make an award for an employee. The types of awards that can be made
using the SF3130 include the Special Acts award, the Sustained Superior
Performance award, the Quality Service award and the Time-Off award

PROPERTY   VALUE

Purpose   FUNDAMENTAL
Last Update   1992/03/27 19:09 NEWUSER
Created   1991/11/15 15:21:49 NEWUSER

ASSOCIATION   TYPE   NAME

Given to   Entity Type   Employee
Recorded in   Entity Type   NOA History
Is Involved in   Process   EPARSS

Entity Type: Benefit

Definition
Benefits such as health insurance, life insurance, disability
insurance, annual leave, sick leave, and retirement that are available
to agency employees

PROPERTY   VALUE

Purpose   FUNDAMENTAL
Last Update   1992/03/27 19:12 NEWUSER
Created   1991/11/15 15:21:51 NEWUSER

ASSOCIATION   TYPE   NAME

Is Involved in   Process   EPARSS
Relate to   Entity Type   Employee

Entity Type: Course Catalog

Definition
A list of all in-house and external training courses, either cost or
no-cost, that are available to EPA employees

PROPERTY   VALUE

Purpose   FUNDAMENTAL
Last Update   1992/03/27 19:14 NEWUSER
Created   1991/11/15 15:21:53 NEWUSER

ASSOCIATION   TYPE   NAME

Is Involved in   Process   EPARSS
Describes   Entity Type   Course Registration

Definition
The preparation of SF182 or 1-page registration forms to officially
register and gain approval to attend a training course

PROPERTY   VALUE

Purpose   FUNDAMENTAL
Last Update   1992/03/27 19:17 NEWUSER
Created   1991/11/15 15:21:52 NEWUSER

ASSOCIATION   TYPE   NAME

Registers from   Entity Type   SF182
Registers for   Entity Type   Course Catalog
Is Involved in   Process   EPARSS
Created by   Entity Type   1-page Registration

Entity Type: Employee

Definition
Individuals who work for and are paid for by a government agency

PROPERTY   VALUE

Purpose   FUNDAMENTAL
Last Update   1992/03/27 19:18 NEWUSER
Created   1991/11/15 15:21:56 NEWUSER

ASSOCIATION   TYPE   NAME

Has a   Entity Type   Positions
Have   Entity Type   Benefit
Has   Entity Type   Training History
Effected by   Entity Type   GARL
Generates   Entity Type   1-page Registration
Is Involved in   Process   EPARSS
Has   Entity Type   NOA History
Receives   Entity Type   Awards SF3130
Requests training on Entity Type   SF182
Was an   Entity Type   Applicant
Effected by   Entity Type   SF52
Receives   Entity Type   Performance Appraisal
Has   Entity Type   Position Description

Entity Type: GARL

Definition
Group Action Request List which is prepared from a reorganization order.

        PROPERTY   VALUE

        Purpose   FUNDAMENTAL
        Last Update   1991/11/21 10:25 NEWUSER
        Created   1991/11/15 15:21:51 NEWUSER

        ASSOCIATION   TYPE   NAME

        Is Involved in   Process   EPARSS
        Effects   Entity Type   Employee
        Creates   Entity Type   NOA History

Entity Type: History, SF52 Processing

        Definition
        The actions that occur as the result of an SF52 being processed within
        the Human Resources office and normally reflected in the form of a NOAC
        or a series of NOAC's

        PROPERTY   VALUE

        Purpose   FUNDAMENTAL
        Last Update   1992/03/27 19:23 NEWUSER
        Created   1991/11/15 15:21:46 NEWUSER

        ASSOCIATION   TYPE   NAME

        Tracks   Entity Type   SF52
        Is Involved in   Process   EPARSS

Entity Type: NOA History

        Definition
        A list of Nature of Actions that pertain to a specific employee that
        are maintained on an SF7

        PROPERTY   VALUE

        Purpose   FUNDAMENTAL
        Last Update   1992/03/27 19:26 NEWUSER
        Created   1991/11/15 15:21:57 NEWUSER

        ASSOCIATION   TYPE   NAME

        Tracks Actions   Entity Type   Employee
            Related to
        Created by   Entity Type   SF52
                                                        GARL
        Is Involved in   Process   EPARSS
        Tracks   Entity Type   Awards SF3130
        Created by   Entity Type   Performance Appraisal

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Entity Type: Pending SF52 Action

    Definition
    A personnel action that has been originated and is in the processing
    cycle awaiting a specific approval or an other external action

    PROPERTY   VALUE

    Purpose   FUNDAMENTAL
    Last Update   1992/03/27 19:28 NEWUSER
    Created   1991/11/21 10:31:23 NEWUSER

    ASSOCIATION   TYPE   NAME

    Created by   Entity Type   SF52
    Is Involved in   Process   EPARSS

Entity Type: Pending Training Registration

    Definition
    A request for training, FormSF182, that is in the processing cycle
    awaiting a specific approval or other external action

    PROPERTY   VALUE

    Purpose   FUNDAMENTAL
    Last Update   1992/03/27 19:30 NEWUSER
    Created   1991/11/21 10:31:23 NEWUSER

    ASSOCIATION   TYPE   NAME

    Is Involved in   Process   EPARSS
    Created by   Entity Type   SF182
                                                        1-page Registration

Entity Type: Performance Appraisal

    Definition
    An employee evaluation that is performed on an annual basis that rates
    the employee's performance, Evaluations are performed on all agency
    employees annually

    PROPERTY   VALUE

    Purpose   FUNDAMENTAL
    Last Update   1992/03/27 19:34 NEWUSER
    Created   1991/11/15 15:21:50 NEWUSER

    ASSOCIATION   TYPE   NAME

Describes	Entity Type	Employee
Creates	Entity Type	NOA History
Is Involved in	Process	EPARSS

Entity Type: Position Description

Definition
A comprehensive description of the duties and responsibilities of an employee. Each Agency employee has a specific position description

PROPERTY	VALUE
Purpose	FUNDAMENTAL
Last Update	1992/03/27 19:37 NEWUSER
Created	1991/11/15 15:21:59 NEWUSER

ASSOCIATION	TYPE	NAME
Decribes duties of	Entity Type	Employee
Is Involved in	Process	EPARSS
Describe duties of	Entity Type	Positions
Decribes	Entity Type	Vacancy Announcement
Changed by	Entity Type	SF52

Entity Type: Positions

Definition
The officially authorized number of staff, identified by position, that the Agency is allowed to recruit,hire and maintain on the rolls

PROPERTY	VALUE
Purpose	FUNDAMENTAL
Last Update	1992/03/27 19:39 NEWUSER
Created	1991/11/15 15:22:00 NEWUSER

ASSOCIATION	TYPE	NAME
Have	Entity Type	Position Description
Is Involved in	Process	EPARSS
Has	Entity Type	Employee
Have	Entity Type	Applicant

Entity Type: SF182

Definition
An OPM approved form that is used by employees to request attendance at either in-house or external training, which may be either cost or non-cost

PROPERTY	VALUE

KnowledgeWare, Inc.

Purpose	FUNDAMENTAL	
Last Update	1992/03/27 19:42 NEWUSER	
Created	1991/11/15 15:21:48 NEWUSER	

ASSOCIATION	TYPE	NAME
Requests training for	Entity Type	Employee
Creates	Entity Type	Training History
		Pending Training Registration
Is Involved in	Process	EPARSS
Registers	Entity Type	Course Registration

Entity Type: SF52

Definition
An OPM approved form that is used to originate and approve all
personnel transactions affecting an agency employee

PROPERTY	VALUE	
Purpose	FUNDAMENTAL	
Last Update	1992/03/27 19:43 NEWUSER	
Created	1991/11/15 15:21:47 NEWUSER	

ASSOCIATION	TYPE	NAME
Effects	Entity Type	Employee
Change	Entity Type	Position Description
Is Involved in	Process	EPARSS
Initiates	Entity Type	Vacancy Announcement
Tracked by	Entity Type	History, SF52 Processing
Creates	Entity Type	NOA History
		Pending SF52 Action

Entity Type: Training Costs

Definition
The costs associated with internal and external training taken by an
employee. Accounting information must be maintained and provided to
Finance

PROPERTY	VALUE	
Purpose	FUNDAMENTAL	
Last Update	1992/03/27 19:45 NEWUSER	
Created	1991/11/15 15:21:54 NEWUSER	

ASSOCIATION	TYPE	NAME

KnowledgeWare, Inc.

         Is Involved in   Process   EPARSS
         Cost   Entity Type   Training History

Entity Type: Training History

    Definition
    A record of each training course that has been taken by an employee

    PROPERTY   VALUE

    Purpose   FUNDAMENTAL
    Last Update   1992/03/27 19:46 NEWUSER
    Created   1991/11/15 15:21:55 NEWUSER

    ASSOCIATION   TYPE   NAME

    Has   Entity Type   Training Costs
    Is Involved in   Process   EPARSS
    Tracks   Entity Type   Employee
    Created by   Entity Type   SF182
                                                   1-page Registration

Entity Type: Vacancy Announcement

    Definition
    The formal advertisement of an unfilled personnel position with the
    intent to hire and fill the position. Based on the type of
    announcement, the position can be open to bid by all federal employees
    or it may only be open to local agency employees

    PROPERTY   VALUE

    Purpose   FUNDAMENTAL
    Last Update   1992/03/27 19:50 NEWUSER
    Created   1991/11/15 15:21:58 NEWUSER

    ASSOCIATION   TYPE   NAME

    Initiated by   Entity Type   SF52
    Duties described by   Entity Type   Position Description
    Is Involved in   Process   EPARSS
    Have   Entity Type   Applicant

KnowledgeWare, Inc.

Appendix A5
NOAC Frequency Analysis for CY91

NOAC	NOA	Totals	Admin	Award	Disc	Retire	Perform	WGI	Car/Accr	Temp	Reorg	Detail	Reassign	Sep	Transfer	Misc	Resign	Appt	Conv	Internal	External
									(Promotion)										(Recruit)		
001	Cancellation	3	3																		
009	Performance Level Update	8,547					8,547														
100	Career Appointment	49																49			
101	Career Conditional Appointment	1,044																1,044			
108	Temporary Appointment NTE	7																7			
112	Temporary Appointment - PER	6																6			
115	Appointment NTE	310																310			
117	Summer Appointment NTE	380																380			
130	Transfer	313													313						
132	Mass Transfer	0																			
140	Reinstatement - Career	87																87			
141	Reinstatement - Career Conditional	33																33			
142	SES Career Appointment	3																3			
143	Reinstatement - SES Career	1																1			
148	SES Noncareer Appointment	1																1			
170	Executive Appointment	353																353			
171	Executive Appointment NTE	804																804			
190	Provisional Appointment NTE	5																5			
292	Return to Duty	294														294					
300	Retirement - Mandatory	1				1															
301	Retirement - Disability	13				13															
302	Retirement - Voluntary	150				150															
304	Retirement - ILIA	6				6															
312	Resignation - ILIA	19												19							
317	Resignation	1,249												1,249							
330	Removal	8												8							
350	Death	18												18							
352	Termination - Appt In	256												256							
353	Termination - MI	1												1							
354	Termination - Disability	2												2							
355	Termination - Exp of Appt	301												301							
356	Termination - Involuntary	27												27							
357	Termination	70												70							
365	Discharge during probtrial period	5			5																
366	Discharge	2			2																
450	Suspension NTE	19			19																
460	LWOP NTE	376												376							
473	Furlough - MIL	1												1							
480	Sabbatical NTE	1												1							
500	Conversion to Career Appointment	18																	18		
501	Conversion to Career Conditional Appointment	285																	285		
508	Conversion to Temporary Appointment NTE	4																	4		
515	Conversion to Appointment NTE	269																	269		
517	Conversion to Summer Appointment NTE	35																	35		
540	Conversion to Reinstatement - Career	23																	23		
541	Conversion to Reinstatement - Career Conditional	6																	6		
542	Conversion to SES Career Appointment	29																	29		
546	Conversion to SES Noncareer Appointment	1																	1		
548	Conversion to SES Limited Term Appointment NTE	2																	2		
570	Conversion to Executive Appointment	101																	101		

NOAC	NOA	Totals	PROCESSES Admin	Award	Disc	Retire	Perform	WGI	Promotion Cert/Accr	Temp	Reorg	Detail	Reassign	Sep	Transfer	Misc	Resign	Appt	Recruit Core	Internal	External
571	Conversion to Executive Appointment NTE	1,148																	1,148		
702	Promotion	4,445							4,445												
703	Promotion NTE	681								681											
713	Change to Lower Grade	604	604																		
721	Reassignment	2,132											2,132								
780	Ext of Appt NTE	230																230			
781	Ext Summer Appt NTE	5																5			
785	Ext of Term Appt NTE	1																1			
789	Ext of Promotion NTE	140								140											
775	Ext of LWOP NTE	72															72				
790	Name Change From	292	292																		
791	Chg in Work Schedule	773	773																		
792	Chg in Hours	172	172																		
780	Realignment	2,670																2,670			
792	Chg in Duty Station	122	122																		
800	Chg in Data Element	460	460																		
803	Chg in Retirement Plan	18	18																		
875	Suggestion Award	25		25																	
877	Special Act or Service Award	8,220		8,220																	
878	SES Rank Award	133		133																	
880	Chg in Tenure Group	800	800																		
881	FEGLI Chg	848	848																		
882	Chg in SCD	812	812																		
883	Chg in Vet Pref	4	4																		
885	Performance Award	8,551		8,551																	
886	Denial of Within-grade Inc	18	18																		
888	PMRS Performance Award	2,184		2,184																	
891	PMRS Merit Inc	2,875		2,875																	
892	Quality Inc	877		877																	
893	Within-grade Inc	8,763						8,763													
894	Pay Adj	16,797	16,797																		
898	Step Adj	3	3																		
905	Performance Level Indicator	60	60																		
907	Change Account Number	1,256	1,256																		
830	Detail NTE	818										818									
831	Extension of Detail	287										287									
832	Termination of Detail	830										830									
940	Detail - Rotational	27										27									
941	Ext Detail - Rotational	8										8									
942	Terminate Detail - Rotational	28										28									
950	Detail to Another Agency	32										32									
951	Ext Detail to Another Agency	7										7									
952	Terminate Detail to Another Agency	4										4									
961	Ext Detail to White House	1										1									
962	Terminate Detail to White House	1										1									
963	Detail to Capital Hill	3										3									
964	Ext Detail to Capital Hill	3										3									
965	Terminate Detail to Capital Hill	4										4									
966	Administrative Change	9,523	9,523																		
967	T&P Code Change	1,583	1,583																		
H00	Honor Awards	184	184																		
TOTAL		86,708	34,623	18,645	28	178	8,547	8,763	4,445	801	0	1,876	2,132	2,331	313	388	2,670	3,296	1,823	0	0

Appendix A6
Nature of Action Codes

Nature of Action Codes.

NOAC	NOAC TITLE
H00	HONOR AWARD
L00	LETTER OF COMMENDATION
P00	CONVERSION SEP
P01	CONVERSION INPUT
P98	GENERAL PAY RAISE
T00	TRAINING
001	CANCELLATION
002	CORRECTION
005	RECREATION OR RESUB OF A RECORD
007	CORRECTION OF CURRENT FILE
009	PERFORMANCE LEVEL UPDATE
010	DELETION FROM FILE
022	CURRENT APPT AUTH INITILIZATION
100	CAREER APPT
101	CAREER-COND APPT
102	CAREER EXEC ASSIGN
103	CAREER EXEC ASSIGN-COND
104	NONCAREER EXEC ASSIGN
107	EMERGENCY APPT
108	TERM APPT NTE
112	TEMP APPT-PER
115	APPT NTE
117	SUMMER APPT NTE
120	O/S LTD APPT
122	O/S LTD APPT NTE
124	APPT-STATUS QUO
128	LIMITED EXEC ASSIGN
130	TRANSFER
132	MASS TRANSFER
140	REINS-CAREER
141	REINS-CAREER COND
142	SES CAREER APPT
143	REINS-SES CAREER
145	TRANSFER-SES CAREER
146	SES NONCAREER APPT
147	TRANSFER-SES NONCAREER
148	SES LTD TERM APPT NTE
149	SES LTD EMERGENCY APPT NTE
170	EXC APPT
171	EXC APPT NTE

190	PROVISIONAL APPT NTE
280	PLACEMENT IN PAY STATUS
292	RTD
300	RETIREMENT-MANDATORY
301	RETIREMENT-DISABILITY
302	RETIREMENT-VOLUNTARY
303	RETIREMENT-SPECIAL OPTION
304	RETIREMENT - ILIA
312	RESIGNATION--ILIA
317	RESIGNATION
330	REMOVAL
350	DEATH
351	TERMINATION-SPONSOR RELOCATING
352	TERMINATION-APPT IN
353	TERMINATION-MIL
354	TERMINATION-DISABILITY
355	TERMINATION-EXP OF APPT
356	TERMINATION-INVOLUNTARY
357	DISC DURING PROB/TRIAL
386	DISCHARGE
430	PLACEMENT IN NONPAY STATUS
450	SUSPENSION-NTE
452	SUSPENSION-INDEFINITE
460	LWOP NTE
462	LWP NTE
471	FURLOUGH
472	FURLOUGH NTE
473	LWOP - MIL
480	SABBATICAL NTE
500	CONV TO CAREER APPT
501	CONV TO CAREER-COND APPT
502	CONV TO CAREER EXEC ASSIGN
503	CONV TO CAREER EXEC ASSIGN-COND
504	CONV TO NON-CAREER EXEC ASSIGN
507	CONV TO EMERGENCY APPT
508	CONV TO TERM APPT NTE
512	CONV TO TEMP APPT-PER
515	CONV TO APPT NTE
517	CONV TO SUMMER APPT NTE
520	CONV TO O/S LTD APPT
522	CONV TO O/S LTD APPT-NTE
524	CONV TO APPT-STATUS QUO
528	CONV TO LIMITED EXEC ASSIGN
540	CONV TO REINS--CAREER
541	CONV TO REINS--CAREER COND
542	CONV TO SES CAREER APPT

543	CONV TO REINS-SES CAREER
546	CONV TO SES NONCAREER APPT
548	CONV TO SES LTD TERM APPT NTE
549	CONV TO SES LTD EMER APPT NTE
570	CONV TO EXC APPT
571	CONV TO EXC APPT NTE
590	CONV TO PROVISIONAL APPT NTE
702	PROMOTION
703	PROMOTION NTE
713	CHG TO LOWER GRADE
721	REASSIGNMENT
740	POSITION CHANGE
741	POSITION CHANGE NTE
750	CONTINUANCE NTE
760	EXT OF APPT NTE
761	EXT OF SUMMER APPT NTE
762	EXT OF SES APPT NTE
765	EXT OF TERM APPT NTE
769	EXT OF PROMOTION NTE
770	EXT OF POSN CHG NTE
772	EXT OF FURLOUGH NTE
773	EXT OF LWOP NTE
780	NAME CHANGE FROM
781	CHG IN WORK SCHEDULE
782	CHG IN HOURS
790	REALIGNMENT
792	CHG IN DUTY STATION
800	CHG IN DATA ELEMENT
803	CHANGE IN RETIREMENT PLAN
810	CHANGE IN ALLOWANCE/DIFFERENTIAL
815	RECRUITMENT BONUS
816	RELOCATION BONUS
818	AUTHORIZED AUO
866	TERM OF GRADE RETENTION
872	TIME OFF AWARD
873	FOREIGN LANGUAGE AWARD
874	GAINSHARING AWARD
875	SUGGESTION AWARD
876	INVENTION AWARD
877	SPEC ACT OR SERVICE AWARD
878	SES RANK AWARD
879	SES PERFORMANCE AWARD
880	CHANGE IN TENURE GROUP
881	FEGLI CHANGE
882	CHG IN SCD
883	CHANGE IN VET PREF

885	SUSTAINED SUPERIOR PERF AWARD
888	DENIAL OF WITHIN GRADE INC.
889	PMRS PERFORMANCE AWARD
891	PMRS MERIT INC
892	QUALITY STEP INC
893	WITHIN-GRADE INC
894	PAY ADJ
895	LOCALITY ADJUSTMENT
899	STEP ADJ
901	ADD TO SF-7
902	DELETE FROM SF-7
903	CHANGE SF-7
905	CHG IN POSITION NUMBER
907	CHG IN APPROPRIATION
930	DETAIL NTE
931	EXT OF DETAIL NTE
932	TERMINATION OF DETAIL
940	DETAIL-ROTATIONAL ASSIGNMENT
941	EXTENSION DETAIL-ROTATIONAL ASSIGNMENT
942	TERMINATION DETAIL-ROTATIONAL ASSIGNMENT
950	DETAIL TO ANOTHER AGENCY
951	EXTENSION OF DETAIL TO ANOTHER AGENCY
952	TERMINATION OF DETAIL TO ANOTHER AGENCY
960	DETAIL TO WHITE HOUSE
961	EXTENSION OF DETAIL TO WHITE HOUSE
962	TERMINATION OF DETAIL TO WHITE HOUSE
963	DETAIL TO CAPITOL HILL
964	EXTENSION OF DETAIL TO CAPITOL HILL
965	TERMINATION OF DETAIL TO CAPITOL HILL
966	ADMINISTRATIVE CHANGE
970	DETAIL TO OMB
971	EXTENSION OF DETAIL TO OMB
972	TERMINATION OF DETAIL TO OMB
980	COMPLETION OF SUPVSRY/MGR PROBATION PERIOD
987	TSP CODE CHANGE

Appendix A7
NOAC Cross-reference to EPARSS Functions

NOAC Cross-reference to EPARSS Functions

NOAC	Description
	Awards
H00	HONOR AWARD
L00	LETTER OF COMMENDATION
815	RECRUITMENT BONUS
816	RELOCATION BONUS
872	TIME OFF AWARD
873	FOREIGN LANGUAGE AWARD
874	GAINSHARING AWARD
875	SUGGESTION AWARD
876	INVENTION AWARD
877	SPEC ACT OR SERVICE AWARD
878	SES RANK AWARD
879	SES PERFORMANCE AWARD
885	SUSTAINED SUPERIOR PERF AWARD
889	PMRS PERFORMANCE AWARD
892	QUALITY STEP INC
	Conversion
500	CONV TO CAREER APPT
501	CONV TO CAREER-COND APPT
502	CONV TO CAREER EXEC ASSIGN
503	CONV TO CAREER EXEC ASSIGN-COND
504	CONV TO NON-CAREER EXEC ASSIGN
507	CONV TO EMERGENCY APPT
508	CONV TO TERM APPT NTE
512	CONV TO TEMP APPT-PER
515	CONV TO APPT NTE
517	CONV TO SUMMER APPT NTE
520	CONV TO O/S LTD APPT
522	CONV TO O/S LTD APPT-NTE
524	CONV TO APPT-STATUS QUO
528	CONV TO LIMITED EXEC ASSIGN
540	CONV TO REINS--CAREER
541	CONV TO REINS--CAREER COND
542	CONV TO SES CAREER APPT
543	CONV TO REINS-SES CAREER
546	CONV TO SES NONCAREER APPT
548	CONV TO SES LTD TERM APPT NTE
549	CONV TO SES LTD EMER APPT NTE
570	CONV TO EXC APPT

| 571 | CONV TO EXC APPT NTE |
| 590 | CONV TO PROVISIONAL APPT NTE |

Misc. Changes

280	PLACEMENT IN PAY STATUS
292	RTD
430	PLACEMENT IN NONPAY STATUS
450	SUSPENSION-NTE
452	SUSPENSION-INDEFINITE
460	LWOP NTE
462	LWP NTE
471	FURLOUGH
472	FURLOUGH NTE
473	LWOP - MIL
480	SABBATICAL NTE
713	CHG TO LOWER GRADE
740	POSITION CHANGE
741	POSITION CHANGE NTE
750	CONTINUANCE NTE
760	EXT OF APPT NTE
761	EXT OF SUMMER APPT NTE
762	EXT OF SES APPT NTE
765	EXT OF TERM APPT NTE
769	EXT OF PROMOTION NTE
770	EXT OF POSN CHG NTE
772	EXT OF FURLOUGH NTE
773	EXT OF LWOP NTE
780	NAME CHANGE FROM
781	CHG IN WORK SCHEDULE
782	CHG IN HOURS
792	CHG IN DUTY STATION
810	CHANGE IN ALLOWANCE/DIFFERENTIAL
818	AUTHORIZED AUO
866	TERM OF GRADE RETENTION
930	DETAIL NTE
931	EXT OF DETAIL NTE
932	TERMINATION OF DETAIL
940	DETAIL-ROTATIONAL ASSIGNMENT
941	EXTENSION DETAIL-ROTATIONAL ASSIGNMENT
942	TERMINATION DETAIL-ROTATIONAL ASSIGNMENT
950	DETAIL TO ANOTHER AGENCY
951	EXTENSION OF DETAIL TO ANOTHER AGENCY
952	TERMINATION OF DETAIL TO ANOTHER AGENCY
960	DETAIL TO WHITE HOUSE
961	EXTENSION OF DETAIL TO WHITE HOUSE
962	TERMINATION OF DETAIL TO WHITE HOUSE

963	DETAIL TO CAPITOL HILL
964	EXTENSION OF DETAIL TO CAPITOL HILL
965	TERMINATION OF DETAIL TO CAPITOL HILL
970	DETAIL TO OMB
971	EXTENSION OF DETAIL TO OMB
972	TERMINATION OF DETAIL TO OMB

Non-SF52 NOACs

P00	CONVERSION SEP
P01	CONVERSION INPUT
P98	GENERAL PAY RAISE
001	CANCELLATION
002	CORRECTION
005	RECREATION OR RESUB OF A RECORD
007	CORRECTION OF CURRENT FILE
010	DELETION FROM FILE
022	CURRENT APPT AUTH INITILIZATION
800	CHG IN DATA ELEMENT
803	CHANGE IN RETIREMENT PLAN
880	CHANGE IN TENURE GROUP
881	FEGLI CHANGE
882	CHG IN SCD
883	CHANGE IN VET PREF
893	WITHIN-GRADE INC
894	PAY ADJ
895	LOCALITY ADJUSTMENT
899	STEP ADJ
901	ADD TO SF-7
902	DELETE FROM SF-7
903	CHANGE SF-7
905	CHG IN POSITION NUMBER
907	CHG IN APPROPRIATION
966	ADMINISTRATIVE CHANGE
980	COMPLETION OF SUPVSRY/MGR PROBATION PERIOD
987	TSP CODE CHANGE

Promotion

702	PROMOTION
703	PROMOTION NTE

Performance

009	PERFORMANCE LEVEL UPDATE
888	DENIAL OF WITHIN GRADE INC.
891	PMRS MERIT INC

Reassignment

721	REASSIGNMENT

Recruitment

100	CAREER APPT
101	CAREER-COND APPT
102	CAREER EXEC ASSIGN
103	CAREER EXEC ASSIGN-COND
104	NONCAREER EXEC ASSIGN
107	EMERGENCY APPT
108	TERM APPT NTE
112	TEMP APPT-PER
115	APPT NTE
117	SUMMER APPT NTE
120	O/S LTD APPT
122	O/S LTD APPT NTE
124	APPT-STATUS QUO
128	LIMITED EXEC ASSIGN
130	TRANSFER
132	MASS TRANSFER
140	REINS-CAREER
141	REINS-CAREER COND
142	SES CAREER APPT
143	REINS-SES CAREER
145	TRANSFER-SES CAREER
146	SES NONCAREER APPT
147	TRANSFER-SES NONCAREER
148	SES LTD TERM APPT NTE
149	SES LTD EMERGENCY APPT NTE
170	EXC APPT
171	EXC APPT NTE
190	PROVISIONAL APPT NTE
500	CONV TO CAREER APPT
501	CONV TO CAREER-COND APPT
508	CONV TO TERM APPT NTE
512	CONV TO TEMP APPT-PER
515	CONV TO APPT NTE
517	CONV TO SUMMER APPT NTE
540	CONV TO REINS--CAREER
541	CONV TO REINS--CAREER COND
542	CONV TO SES CAREER APPT
543	CONV TO REINS-SES CAREER
546	CONV TO SES NONCAREER APPT
548	CONV TO SES LTD TERM APPT NTE
549	CONV TO SES LTD EMER APPT NTE
570	CONV TO EXC APPT

571	CONV TO EXC APPT NTE
590	CONV TO PROVISIONAL APPT NTE
702	PROMOTION
703	PROMOTION NTE
721	REASSIGNMENT

Reorganization

790	REALIGNMENT

Separation

300	RETIREMENT-MANDATORY
301	RETIREMENT-DISABILITY
302	RETIREMENT-VOLUNTARY
303	RETIREMENT-SPECIAL OPTION
304	RETIREMENT - ILIA
312	RESIGNATION--ILIA
317	RESIGNATION
330	REMOVAL
350	DEATH
351	TERMINATION-SPONSOR RELOCATING
352	TERMINATION-APPT IN
353	TERMINATION-MIL
354	TERMINATION-DISABILITY
355	TERMINATION-EXP OF APPT
356	TERMINATION-INVOLUNTARY
357	DISC DURING PROB/TRIAL
386	DISCHARGE

Training

T00	TRAINING

Appendix A8
General System Concepts

General System Concepts

A8.1 Users

"Users" of the Automated SF52 system are individuals who prepare (type) the Requests for Personnel Action (SF52s), those who sign the requests as Requesting and/or Approving Officials and those who actually process the personnel action. Anyone who needs to review/manage SF52 actions can also do so using the automated system.

A8.2 Action Ownership

When an SF52 is initiated in the Program Office, the action should be considered as "owned" by the user who is initiating the action (i.e., the SF52 is in the user's mailbox). Information should only be changed or deleted by the individual who "owns" the SF52. When an action is "forwarded", the system should transfer ownership (i.e., the SF52 is now in a different individual's mailbox and can only be changed or deleted by the new owner). Users should act (initiate, update, or sign) on an SF52 as soon as possible and then forward it to the next level for further processing, review, correction, signature, etc. Users should be notified on the screen when an SF52 is in their mailbox awaiting an action on their part. The system should also track who has the SF52, when they received and when they forwarded it.

A8.3 System Access

Access and functional capability assigned to a user of the Automated SF52 system should be controlled by a "user profile." The user profile serves several functions:

> 1. Defines the authority level of the user.
>
> 2. Controls system access (system security).
>
> 3. Directs action forwarding and routing.
>
> 4. Controls the electronic signature process.

Within the system various authority levels are required for the different system users:

Authority Level Code	Authority
1	Secretary/Administrative assistance
2	Requesting official
3	Reviewing official
4	Approving official
0	Viewer = A viewer can only "look" at actions. Actions cannot be initiated, received, etc.
5	Classifier
6	Staffer
7	Team Leader/Supervisor
8	Final Processor

Access to the various actions and the routing of actions should also be controlled by a user's:

1. Organization code
2. Submitting office number

The system should also monitor the employment status of individuals who have authorized access. If an SF52 is submitted to change the organization assignment of a user or to separate a user, the system should automatically flag the user profile record and not allow that user access to the SF52 system after the effective date of the action. The system should permit a system administrator to reassign ownership of actions remaining in the mailbox of a separated employee or those that are unable to complete their duties in a timely manner (e.g., on vacation, sick leave).

A user may require several profiles in the system based on required duties and access authority. For example, a user may be an approving official for grades 1-13 and a requesting official for grades 14 and above. The system should control access to personnel actions at the appropriate level for the user.

A8.4 User Profile

The user profile should be comprised of the following elements to adequately provide for system security, controlled access to personnel actions, electronic signature and proper routing of actions within the Agency.

USER ID: The User ID is used to access the Automated SF52 system and to identify the persons who are authorized to perform the various personnel functions in the system. If a human resources specialist requires access to SF52s in more than one functional section (e.g., Staffing and Processing), he/she

must have a profile record entered into the file for each functional section. Users may use different ID's for each functional section or they may use the same ID. If the same ID is used, the user will be provided an option to specify which functional section he/she wishes to work in. The "section level" code will determine which system screens are provided for viewing and/or updating. When the same ID is used for more than one functional section, the system does not partition which actions were forwarded for Classification, Staffing and/or Processing (i.e., all actions that are currently owned by the user are accessible when called for by control number). Functional section may be designated any time during a terminal session.

NAME: Name of the user.

TITLE: The official title for persons who are authorized to sign SF52s as requesters and/or approvers.

SOCIAL SECURITY NUMBER: The social security number of the user. The SSN is used to prevent employees from entering information about themselves or after they have left the Agency. Actions entered into the system as a "requested personnel action" will flag the "profile(s)" when the action is a separation or when a change in the organization code occurs for a user who is authorized to input or sign a request for personnel action. The user will not be allowed to enter actions once the "profile expiration date" is reached.

REGION: The region code/personnel office location code that identifies the servicing personnel office where the user is located.

PROFILE EXPIRATION DATE: When an SF52 that changes the organization code (reassignment, promotion, etc.) or separates (resignation, termination, etc.) a user (who has an access authorization record in the system) is processed, the system should automatically move the effective date of the personnel action to the "profile expiration date" when the transaction is submitted to EPAYS. Once the expiration date is reached, the user will no longer be allowed access to the records in the system.

AUTHORITY LEVEL: Identify the functional processes that the user can perform:

Authority Level Code	Authority
1	Secretary/Administrative Assistance. An initiater can input an SF52 and can update the SF52 as long as he/she still "owns" the record.
2	Requesting Official. A requester can input an SF52, can update the SF52, and can sign the SF52 as a requesting official.
3	Reviewing Official. A reviewer can only review and concur or not concur with a requested action. (Cannot input or update an SF52.
4	Approving Official. An approver can input an SF52, can update the SF52, and can sign the SF52 as an approving official.
0	Viewer. A viewer can only "look at" action or lists of action. The "browse," "status,", "completed actions," and "reports" options are made available to the viewer.
5	Classifier. Can perform classification functions.
6	Staffer. Can perform staffing functions.
7	Team Leader/Supervisor. Review and approve the action prior to sending it to processing.
8	Final Processor. Final review and signature to release action to EPAYS.

NOTE: If a person is to have access to SF52s in more than one security level (e.g., a person is an "approver" for grades 01 through 12 and is a "requester" for grades 13 through SES), he/she must have a profile record established for each security level. The same User ID may be used for these profile records.

HRO LEVEL: Identify the personnel level code as one of the following:

Code	Definition
1	The entry point in a functional section (i.e., the system should automatically send the SF52s to this individual as the first routing stop in the functional section). A first routing point must also be further defined by indicating the applicable organization code range.
2	Secondary routing point (i.e., actions can be routed to this person by another HRO user).

MINIMUM ORGANIZATION CODE: Identify the lowest organization code (in a range of codes) for which the user can initiate (input), receive, or review SF52s.

MAXIMUM ORGANIZATION CODE: Identify the highest organization code (in a range of codes) for which the user can initiate, receive, or review SF52s.

NOTE: If a single organization code range does not cover all serviced organization codes for an individual, you must establish additional profile records for each break in the organization code range. For example a Classifier may service organization codes 40000000 thru 40900170 and organization codes 42000000 thru 42999999. The person would have 2 profile records that are identical except for the "minimum" and "maximum" organization codes.

INITIALS: If authority level is "8" (Processing), give a 2-character initial preference. Unique initials must be assigned to each user (or for each different user ID). The initials are used as a part of the Document Control Number on transactions created for EPAYS.

GRADE (LOWEST): If personnel level is "1", identify the lowest grade (in a range of grades) that the user can receive actions for processing.

GRADE (HIGHEST): If the personnel level is "1", identify the highest grade (in range of grades) that the user can receive actions for processing.

SPECIALIST: Used to identify specialist who are authorized to electronically sign the SF52 as approved for a functional section. (Not to be confused with "final" approval which indicates the action meets all regulatory requirements.)

Code	Specialist Indicator
1	Functional Specialist - Can indicate Section approval
0	Other - Cannot approve as a functional specialist

SYSTEM ADMINISTRATOR: Used to identify supervisors and their supervisory level within the system for specific system administration activities.

Code	Supervisory Level
1	Functional Section Supervisor. A supervisor can reassign actions within their assigned functional section.
2	Regional Personnel Officer and/or designee. A Personnel Officer/designee can reassign actions within their regional office or can forward actions to another regional personnel office.
3	National level. Used only by the EPA Personnel Officer and/or the Functional System Administrator(s).

FINAL APPROVAL SIGNATURE: Used to identify users who are authorized to sign with "final approval" indicating that the SF52 action meets regulatory requirements.

Code	Definition
1	Authorized
0	Not authorized

PAY PLAN: The first character of a pay plan(s) is used to assure that appropriate first routing occurs for actions that affect experts, consultants, or SES employees.

A8.5 Functions By User Type

Listed below are the functions that a program office user should be able to perform based on the user authority level when the user "owns" an SF52 action (i.e., the action is in their mailbox):

FUNCTIONS	Program Office Authority Levels				
	Approving Official	Requesting Official	Sec/Admin	Concur	Viewer
Sign as approving official	X				
Sign as requesting official	X	X			
Initiate a personnel action	X	X	X		
Update an action	X	X	X		
Delete an action	X	X	X		
View an action	X	X	X	X	X
Obtain status of an action	X	X	X	X	X
Forward an action	X	X	X	X	
Obtain reports on actions	X	X	X	X	X

Access to all data in the system should be based on user profiles. Only actions that meet a user's profile parameters (organization code, submitting number) can be accessed by that user. Only the "owner" of an action can update, delete, or forward that action.

Any action that meets a user's profile parameters can be viewed by that user regardless of who owns it. Also the status of any such action should be accessible. The status should provide a history of what has happened to an action since its initiation.

A8.6 Forwarding and Routing

When an action is to be forwarded, the system should display a list of all users that the action can be sent to (including for view only). The user should be able to select the individuals to receive the action and send it. Prior to forwarding, the actions should be electronically signed if appropriate.

When "forwarding" an SF52 action to human resources, the system should determine which servicing human resources office should receive the action based on the employee's organization code. Program office personnel should be able to monitor the status of actions as they progress through the human resources functions and processes; however, the program office should not be allowed to make changes/updates after the action has been forwarded to the servicing human resources office. If changes are required, the servicing human resources office should return an action to the "Approving Official" in the program office or make the changes, as appropriate.

SF52 actions are considered to be "active" any time prior to submission to EPAYS. Once an action has been sent to EPAYS and the EPAYS master file has been updated, the SF52 information should be transferred to a "history" file.

A8.7 Control Numbers

A "control number" should be used by the SF52 system to uniquely identify each SF52. This number should be system generated upon completion of initial data entry. Once an SF52 is recorded in the system, it should be recallable for further activity by:

    (a) Selecting the action from a list presented by the system.

    (b) Using the SF52 system control number.

    (c) Selecting the action by the SSN, if available.

A8.8 Routing Copies

Anyone in the SF52 process should be able to send a copy of an "owned" action to another authorized individual for information purposes (viewing) or "concurrence". Concurrence may be required for monitoring FTEs and someone needs to be informed of all SF52 actions prepared within the organization. Concurrence copy should impede the

progress of an action, requiring that the individual logon to the system and take positive action (including forwarding). Viewing should not stop the progress or processing of the action since it serves as information only and should not require signature or forwarding. Copies should be sent only to individuals whose profiles allow them access to the action.

A8.9 Electronic Signature

The Automated SF52 system will require an electronic signature function. Electronic signature should comply with EPA standards and be approved by OPM as a legal technique for the signature of personnel action documents created and processed electronically. The prototypes contain electronic signature functions, however, they were developed prior to an Agency standard and are not considered adequate for the purposes of the actual system.

Appendix A9
SF52 Data Element List

SF52 Data Element List

(Cross Reference to Data Dictionary)

Names	DD Page No
Academic Discipline Code	1
Account Number	1
Action Code	1
Action	2
Alien Resident/Non-Resident Code	2
Annuity Indicator	2
Approved By	3
Approve Personnel	3
Appointment Limitation Date	4
Appointment for a Limited Number of Days	4
Appointed for a Limited Number of Hours	4
Limited Dollars	4
Appointment Authority-1 Current	5
Appointment Authority-2 Current	5
Appointment - 90 Day Indicator	6
Authentication Date	6
Authority Code 1	7
Authority Code 2	7
Authority Code 3	8
Authority Code 4	8
Bargaining Unit Status	9
Citizenship Status Code	10
Contract Personnel Name	10
Control Number	11
COLA/POST Differential Code	11
Competitive Area Code	11
Competitive Level Code 1	12
Competitive Level Code 2	12
Competitive Level Code 3	13
Corrections Date Field 1	13
Corrections Date Field 2	13
Corrections Date Field 3	14
Corrections Date Field 4	14
Counted/Not Counted Code	14
Contract Personnel Phone	14
Contract Remarks 1	15
Contract Remarks 2	15
Contract Remarks 3	15

Appendix A10
SF52 Relationship Edits

SF52 Relationship Edits

Relationship edits should be performed after all data entry is completed and the action is ready for submission to final processing for entry/release to EPAYS. The edits should be as consistent and comprehensive as those used for the CPDF. This will help ensure the minimal rejection rate from EPAYS and OPM. These edits must be validated at system development time to ensure they are complete and up-to-date with current EPAYS and CPDF requirements. Many of the relational edits which should be included in the system are listed below:

1. ANNUITY AMOUNT - CSC MONTHLY

If nature of action is within the 100 thru 199 or 500 thru 599 range and annuitant indicator is 1 then annuity amount-CSC monthly must be numeric and greater than 0.

2. APPOINTMENT LIMIT

If nature of action code is in the 500 thru 599 range and tenure group is 1 or 2 and position occupied code is 1 and type of appointment is 01 or 02 then appointment limitation code should be 00 and appointment limitation should be blank or 0000 and service year begin date should be blank or 000000 and appointment not-to-exceed date should be blank or 00000.

3. APPOINTMENT DATA: (TENURE GROUP, TYPE OF APPOINTMENT, AND POSITION OCCUPIED BASED ON NATURE OF ACTION CODE)

a. If the first nature of actions code is 117 then tenure group code must be 0 and type of appointment code must be 03 and position occupied code must be 1 or 2.

b. If the first nature of actions code is 130 then tenure group code must be 1 or 2 and type of appointment code must be 01 or 02 and position occupied code must be 1 or 2.

c. If the first nature of actions code is 132 then tenure group code must be 0, 1, 2, or 3 and type of appointment code must be within the range of 01 thru 14 and position occupied code must be 1, 2, 3, or 4.

d. If the first nature of actions code is 142 then tenure group code must be 0 and type of appointment code must be 12 and position occupied code must be 3 or 4.

e. If the first nature of actions code is 143 then tenure group code must be 0 and type of appointment code must be 12 and position occupied code must be 3 or 4.

f. If the first nature of actions code is 145 then tenure group code must be 0 and type of appointment code must be ?12 and position occupied code must be 3 or 4.

g. If the first nature of actions code is 146 then tenure group code must be ?0 and type of appointment code must be 13 and position occupied code must be 3 or 4.

h. If the first nature of actions code is 147 then tenure group code must be 0 and type of appointment code must be 13 and position occupied code must be 3 or 4.

i. If the first nature of actions code is 148 then tenure group code must be 0 and type of appointment code must be 14 and position occupied code must be 3 or 4.

j. If the first nature of actions code is 149 then tenure group code must be 0 and type of appointment code must be 14 and position occupied code must be 3 or 4.

k. If the first nature of actions code is 170 then tenure group code must be 1, 2, or 3 and type of appointment code must be 01, 02, or 03 and position occupied code must be 2.

l. If the first nature of actions code is 517 then tenure group code must be 0 and type of appointment code must be 03 and position occupied code must be 1 or 2.

m. If the first nature of actions code is 542 then tenure group code must be 0 and type of appointment code must be 12 and position occupied code must be 3 or 4.

n. If the first nature of actions code is 543 then tenure group code must be 0 and type of appointment code must be 12 and position occupied code must be 3 or 4.

o. If the first nature of actions code is 546 then tenure group code must be 0 and type of appointment code must be 13 and position occupied code must be 3 or 4.

p. If the first nature of actions code is 548 then tenure group code must be 0 and type of

appointment code must be 14 and position occupied code must be 3 or 4.

q. If the first nature of actions code is 549 then tenure group code must be 0 and type of appointment code must be 14 and position occupied code must be 3 or 4.

r. If the first nature of actions code is 570 then tenure group code must be 1, 2, or 3 and type of appointment code must be 01, 02, or 06 and position occupied code must be 2.

s. If the first nature of actions code is 571 then tenure group code must be 0 or 3 and type of appointment code must be 03 and position occupied code must be 2.

t. If the first nature of actions code is 880 then tenure group code must be 1 or 3 and type of appointment code must be within the range of 01 thru 14 and position occupied code must be 1 or 2.

4. AUTHORITY (LEGAL)

a. If one of the legal authority codes is YBM and if pay plan is WG then grade must be 01 through 05.

5. AUTHORITY FOR APPOINTMENTS

If nature of action code is within the 100 thru 199 or the 500 thru 599 range then Authority Code, Pay Plan, Occupation Code, Grade, Position Occupied Code, Handicap Code, Tenure Group Code, Veteran Preference Code, Vietnam Era Veteran Code, and Education Level Code are edited as shown below.

6. AGENCY EOD DATE

If Nature of Action Code is within the 100 thru 199 range then Agency EOD Date must be a valid calendar date and must be equal to the nature of action effective date.

7. CURRENT APPOINTING AUTHORITY

a. If nature of action is in the 100 thru 199 or 500 thru 599 range then the first current appointing authority code must be the same as the first legal authority and the second current appointing authority code must be the same as the second legal authority.

b. If nature of action is in the 700 thru 799 range and from bureau code is NOT blank then the first appointing authority code must be filled (cannot be blank); BUT must NOT be the same as the first legal authority.

8. DATE OF BIRTH (DOB)

a. If Nature of Action Code is 300 then effective date year must be 50 or more years later than birth date year.

b. If Nature of Action Code is within the 100 thru 199 range then effective date year must be 15 or more years later than birth date year.

9. EDUCATION LEVEL

a. If Nature of Action Code is within the 100 thru 199 or 500 thru 599 range and tenure is 1 or 2 then education level must not be blank.

b. If Nature of Action Code is within the 100 thru 199 or 500 thru 499 range then and pay plan is ES then education level must not be blank.

c. If Nature of Action Code is within the 100 thru 199 or 500 thru 599 range and education level greater than 12 then academic discipline cannot be blank and year degree cannot be blank.

d. If Nature of Action Code is within the 100 thru 199 or 500 thru 599 range and education level equal to or less than 12 then academic discipline must be blank and year degree must be blank.

10. EFFECTIVE DATE

a. If Nature of Action Code is 117 or 517 then effective date must be between 05/13/xx and 09/30/xx inclusive.

b. If Nature of Action Code is 171 and legal authority is WWM or ZWM then effective date must not be between 05/13/xx and 08/31/xx inclusive.

c. If Nature of Action Code is 171 and pay plan is GW, YW, or WW then effective date must not be between 05/13/xx and 08/31/xx inclusive.

11. FROZEN CSR SERVICE

a. If nature of action is in the 100 thru 199 range or the 500 thru 599 range or is 803 then frozen CSR service must not be blank.

b. If nature of action is in the 700 thru 799 range and the from bureau is not blank then frozen CSR service must not be blank.

12. GRADE

a. If pay plan is WL then grade must be 01 thru 15.

c. If pay plan is WS then grade must be 01 thru 19.

e. If pay plan is GM then grade must be 13 thru 15.

f. If pay plan is GG, or GS then grade must be 01 thru 15.

g. If pay plan is WG then grade must be 01 thru 15.

h. If pay plan is EX then grade must be 01 thru 05.

i. If pay plan is GW then grade must be 01 thru 04.

j. If pay plan is FC then grade must be 01 thru 14.

k. If one of the legal authorities is J8M and pay plan is GG or GS and Nature of Action Code is 170 or 570 then grade must be 01 thru 09.

13. HANDICAP (REPORTABLE)

If nature of action code is within the 100 thru 199 or the 500 thru 599 range and one of the legal authorities is WTM, WUM, or YKM then reportable handicap code must be between 06 and 94 inclusive.

14. HEALTH BENEFITS PRORATION INDICATOR

a. If nature of action code is in the 100 thru 199 range OR is 781 and the to work schedule is P then the health benefits proration indicator must be 0 (zero) or 1.

b. If nature of action code is 781 and the from work schedule is equal to P and the to work schedule is F, I, G, H, or J than the health benefits proration indicator must be 0.

15. INTERMITTENT WORKDAYS

If nature of action code is 781 and the from work schedule is I or J and the to work schedule is F, G, H, P, Q, R, or T then intermittent workdays for total government service must be 0000;

If nature of action code is 781 and the from work schedule is I or J and the to work schedule is F, G, H, P, Q, R, or T and tenure group is 2 then if intermittent workdays for probation is

not blank in the EPAYS record it must be 000 in the SF-52 record __and__ if intermittent workdays for career tenure is not blank in the EPAYS record it must be 000 in the SF-52 record;

If nature of action code is 781 and the __from__ work schedule is I or J and the __to__ work schedule is F, G, H, P, Q, R, or T and tenure group is 1 or 2 then if intermittent workdays for within grade increase is not blank in the EPAYS record it must be 000 in the SF-52 record.

16. PAY BASIS

If to pay plan is equal to GS, GG, GW, GM, ES, or EX then the to pay basis must be PA.

If the first position of the to pay plan is W or X then the to pay basis must be PH.

If the to pay plan is EI, ED, EE, EF, EG, or EH then the to pay basis must be PD.

If the to pay plan is ZZ then the to pay basis must be WC.

If pay basis is WC then salary must be 000000.

17. PAY PLAN

a. If Nature of Action Code is 142, 143, 145, 146, 147, 148, 149, 480, 542, 543, 546, 548, 549, or 762 then pay plan must be ES.

b. If Nature of Action Code is 889 or 891 then pay plan must be GM.

c. If pay plan is YV then effective date must be between 05/13/xx and 09/30/xx inclusive.

d. If pay plan is GW, YW, or WW and Nature of Action Code begins with 1 or 5 then Nature of Action Code must be 171 or 571.

e. If Nature of Action Code is 893, pay plan must __not__ be GM.

f. If nature of action code is within the 100 thru 199 or the 500 thru 599 range and pay plan is GM or ES then date entered PMRS/SES must be a valid calendar date equal to or earlier than the effective date of the action.

18. PAY RATE DETERMINANT

a. If pay rate determinant is 4 then pay plan may not be GS or may not begin with W or X.

b. If Pay plan is ST or EX then pay rate determinant must be S or 0.

c. If pay rate determinant is 8 then pay plan must be GG, GM, or GS.

d. If pay rate determinant is 2, 3, 5, A, B, E, F, J, K, U, or V then pay plan must be AD, GS, GG, GM, GW or the first position of pay plan must be W or X.

e. If pay rate determinant is 7 then pay plan must be AD, GS, GG, GM or the first position of pay plan must be W or X.

f. If pay rate determinant is 6 then pay plan must be AD, GG, GM, GS, GW or first position of pay plan must be W or X and entrance step must be 02, 03, 04, 05, 06, 07, 08, 09, 10 or 66.

g. If pay plan is ES then pay rate determinant must be 0.

h. If Nature of Action Code is 702 or 721 then pay rate determinant may not be A, B, E, F, U, or V.

i. If Nature of Action Code is 892 or 893 or 899 then pay rate determinant must be 0, 5, 6, 7, 8, A, B, E, or F.

19. POSITION OCCUPIED

a. If pay plan is GW, YW, WW, YV, ED, EE, EF, EG, EH or EI then position occupied must be 2.

b. If pay plan is ES then position occupied must be 3 or 4.

c. If position occupied is 3 or 4 then pay plan must be ES.

d. If Nature of Action Code is 100, 101, 102, 103, 107, 108, 112, 115, 120, 122, 124, 128, 140, 141, 500, 501, 502, 503, 507, 508, 512, 515, 520, 522, 524, 528, 540, or 541 then position occupied must be 1.

e. If Nature of Action Code is 104, 150, 151, 153, 154, 155, 157, 170, 171, 504, 550, 551, 553, 554, 555, 570, or 571 then position occupied must be 2.

20. POSITION SCHEDULE OR STATUTE

If nature of action is 170 or 171 and the first position of current appointing authority is W, X, or Y then position schedule or statute must be 1, 2, 3, or 4.

21. PREVIOUS RETIREMENT COVERAGE

a. If nature of action code is in the 100 thru 199 range OR the 500 thru 599 range then previous retirement coverage must be N or P.

b. If nature of action code is in the 700 thru 799 range and the from bureau is NOT blank then previous retirement coverage must be N or P.

22. RETAINED GRADE, RETAINED PAY PLAN, RETAINED STEP, AND SALARY

a. If nature of action code is 740 or 741 and pay rate determinant is A, B, E, F, U, or V then retained grade must not be blank in the SF-52 record and retained pay basis must not be blank in the SF-52 record and retained pay plan must not be blank in the SF-52 record and retained step must not be blank in the SF-52 record.

b. If nature of action code is 866 then pay rate determinant cannot be A, B, E, F, U, or V and retained grade must be 00 in the SF-52 record and retained pay basis must be 00 in the SF-52 record and retained pay plan must be 00 in the SF-52 record and retained step must be 00 in the SF-52 record.

23. RETIREMENT CODE

a. If position occupied is 1 and tenure is 1 or 2 then retirement system code must NOT be 5, G, J, W, or X.

b. If Nature of Action Code is 100, 101, 500, 501, 540, or 541 then retirement system code must be 1, 6, C, M, R, or T.

24. SERVICE COMPUTATION DATE (LEAVE)

a. The service computation date must be earlier than or the same as the effective date.

b. If the Nature of Action Code begins with 1 and creditable military service is greater than 0000 then the service computation date must be earlier than the effective date.

c. Service computation date must be 16 or more years later than the date of birth.

25. SHIFT DIFFERENTIAL AND PAY PLAN

a. If nature of action code is in the 100 thru 199 range and pay plan is WG, WL, WS, XP, XL, or XS then shift differential code must be 1 and 2nd shift rate must be 0075 and 3rd shift rate must be 0100.

b. If nature of action code is in the 500 to 799 range and the first position of the from pay plan

is G and the to pay plan is WG, WL, WS, XP, XL, or XS then shift differential code must be 1 and 2nd shift rate must be 0075 and 3rd shift rate must be 0100.

c. If nature of action code is in the 500 to 799 range and the from pay plan is WG, WL, WS, XP, XL, or XS and the first position of the to pay plan is G then shift differential code must be 0 in the SF-52 record, and 2nd shift rate must be 0000 in the SF-52 record and 3rd shift rate must be 0000 in the SF-52 record.

26. SPECIAL PROGRAM IDENTIFIER

a. If nature of action code is 171 or 571 and current appointing authority is WWM and veteran preference is 1 then special program identifier must be 54.

b. If nature of action code is 171 or 571 and current appointing authority is WVM then special program identifier must be 55.

c. If nature of action code is 171 or 571 and current appointing authority is WWM and veterans preference is greater than 1 then special program identifier must be 53.

d. If nature of action code is 170 or 570 and current appointing authority is YAM then special program identifier must be 57.

e. If nature of action code is 170 or 570 and current appointing authority is Y1M, Y2M, Y3M, YBM, or YGM then special program identifier must be 62.

f. If nature of action code is 170 , 171, 570, or 571 and current appointing authority is WTM, WUM, YKM then special program identifier must be 67.

g. If nature of action code is in the 100 thru 199 range and current appointing authority is not equal to WWM, YAM, Y1M, Y2M, Y3M, YBM, or YGM and Vietnam era veteran is equal to V and veteran preference is greater than 1 then special program identifier must be 61.

h. If nature of action code is in the 500 thru 599 range and tenure group is 1 or 2 and position occupied code is 1 and from pay plan is GW, WW, or YV and veteran preference is 1 then special program identifier must be 00 and

position schedule or statute must be 0 and the appointment not-to-exceed date must be 000000 and appointment limit code must be 00.

i. If nature of action code is in the 500 thru 599 range and tenure group is 1 or 2 and position occupied code is 1 and current appointing authority is ZJM then special program identifier must be 00 and position schedule or statute must be 0.

27. STEP

a. If pay plan is FC and grade is 01 thru 12 then step must be 01 thru 10.

b. If pay plan is FC and grade is 13 then step must be 01 thru 09.

c. If pay plan is FC and grade is 14 then step must be 01 thru 05.

d. If pay plan is GG, GS, or GW and grade is 01 thru 15 and pay rate determinant is 0, 5, 6, 7, 8 then step must be 01 thru 10.

e. If pay plan is GM then step must be 00 or 99.

f. If pay plan is ES then step must be 01 thru 06.

g. If pay rate determinant is 2, 3, 4, or alphabetic then step must be 00 unless to pay plan is WT.

28. SUPERVISORY OR NON SUPERVISORY INDICATOR

a. If pay plan is ES or EX then supervisory or non supervisory indicator must be 1, 3, or 8.

b. If pay plan is GM then supervisory or non supervisory indicator must be 1, 3, 4, or 5.

c. If pay plan is BL, WL, XB, or XL then supervisory or non supervisory indicator must be 6.

d. If pay plan is ED, EE, EF, EG, EH, EI, GW, WB, WG, WW, XP, YV, or YW then supervisory or non supervisory indicator must be 8.

f. If pay plan begins with G and supervisory or non supervisory indicator is 3 then grade must be greater than 08.

g. If pay plan begins with G and supervisory or non supervisory indicator is 1 then grade must be greater than 02.

29. TENURE GROUP

a. If legal authority is Y1M, YAM, J8M, Y2M, or Y4M then tenure must be 2.

b. If Nature of Action Code is 170 or 570 then tenure must be 1, 2, or 3.

c. If Nature of Action Code is 760 or 761 then tenure must be 0 or 3.

d. If Nature of Action Code is 765 then tenure must be 3.

e. If Nature of Action Code is 892 or 893 and to pay plan is GS then tenure must be 1, 2, or 3.

f. If Nature of Action Code is 100, 102, 130, 140, 155, 157, 500, 502, 550, 551, or 555 then tenure must be 1 or 2.

g. If Nature of Action Code is 101, 103, 141, 150, 501, 503, 541, or 550 then tenure must be 2.

h. If Nature of Action Code is 107, 108, 112, 115, 117, 120, 122, 124, 128, 153, 154, 171, 507, 508, 512, 515, 517, 520, 522, 524, 528, 553, 554, or 571 then tenure must be 0 or 3.

i. If pay plan is ES then tenure (TEN_GP) must be 0.

j. If pay rate determinant is A, B, E, F, J, K, U or V then tenure must be 1 or 2.

k. If position occupied is 3 or 4 then tenure must be 0.

30. VETERAN PREFERENCE

a. If one of the legal authorities is LBM, LZM, LYM, MGM, NEM, MMM, NCM, J8V, J8P, J8R, or J8T then veteran preference category must be 2, 3, 4, or 6.

b. If veterans preference is 2, 3, 4, or 6 then Vietnam era veteran indicator must be N or V.

31. VIETNAM ERA VETERAN INDICATOR

a. If one of the legal authority codes is MGM or NCM then Vietnam era veteran indicator code must be V and veteran preference must be 2, 3, 4, or 6.

32. WORK SCHEDULE

If Nature of Action Code is 430 or 280 then to work schedule must be G, H, Q, R, J, or K.

Appendix A11
EPAYS Tables

EPAYS TABLES Required for SF52 Validation

EPAYS Table No:	Table name	Table Contents
01	Salary	Salary by Grade & Step, and Location
08	Authority Code	Authority Code and Description
12	Patco	Position Category with Occupation Code
16	State & City	State, City codes
17	Bus Code	Bargaining Unit Status code
22	Son	Submitting Office Number and Office Address
23	NOAC	Nature of Action Code and Description
24	Remarks Code	Remarks Code and Remarks for Inserts
26	Retirement Code	Retirement Code
27	Health Benefit	Health Benefit Code and Health Plan name
38	Academic Discipline	Academic Discipline Code and Discipline Title
39	Occupation Code	Series and Series Title
51	Designate Agent	Designated Agent Code and Son Region number

Appendix A12
SF52 Form

REQUEST FOR PERSONNEL ACTION

PART A—Requesting Office *(Also complete Part B, Items 1, 7-22, 32, 33, 36 and 39.)*

1	quested	2 Request Number

3 For Additional Information Call *(Name and Telephone Number)*	4 Proposed Effective Date

5 Action Requested By *(Typed Name, Title Signature, and Request Date)*	6 Action Authorized By *(Typed Name, Title, Signature, and Concurrence Date)*

PART B—For Preparation of SF 50 *(Use only codes in FPM Supplement 292-1. Show all dates in month-day-year order.)*

1 Name *(Last, First, Middle)*	2 Social Security Number	3 Date of Birth	4 Effective Date

First Action / **Second Action**

5-A. Code	5-B. Nature of Action	6-A. Code	6-B Nature of Action
5-C Code	5-D. Legal Authority	6-C Code	6-D Legal Authority
5-E Code	5-F Legal Authority	6-E Code	6-F Legal Authority

7 FROM Position Title and Number	15 TO Position Title and Number

8 Pay Plan	9 Occ Code	10 Grade or Level	11 Step or Rate	12 Salary	13 Pay Basis	16 Pay Plan	17 Occ Code	18 Grade or Level	19 Step or Rate	20 Salary/Award	21 Pay Basis

14 Name and Location of Position's Organization	22 Name and Location of Position's Organization

Employee Data

23 Veterans Preference	24 Tenure	25. Agency Use	26. Veterans Preference for RIF
1—None 3—10 Pt. Disab 5—10 Pt. Other 2—5 Pt. 4—10 Pt. Comp 6—10 Pt./30% Comp	0—None 2—Conditional 1—Permanent 3—Indefinite		☐ YES ☐ NO

27 FEGLI	28 Annuitant Indicator	29 Pay Rate Determinant
	1—Reempl Ann-CS 3—RETM 5—RETM & CS 2—RETO 4—RETO & CS 9—Not Applicable	

30 Retirement Plan	31 Service Comp Date (Leave)	32 Work Schedule	33 Part-Time Hours
		I—Intermittent J—INT Seasonal F—Full-time G—FT Seasonal H—FT On Call P—Part-time Q—PT Seasonal R—PT On Call	Per Biweekly Pay Period

Position Data

34 Position Occupied	35 FLSA Category	36 Appropriation Code	37. Bargaining Unit Status,
1—Competitive Service 3—SES General 2—Excepted Service 4—SES Career Reserved	E—Exempt N—Nonexempt		

38 Duty Station Code	39 Duty Station *(City—County—State or Overseas Location)*

40 Agency Data	41	42	43	44

45 Educational Level	46 Year Degree Attained	47 Academic Discipline	48 Functional Class	49 Citizenship	50 Vietnam Era Vet	51 Supervisory Status
				☐ 1—USA 8—Other	☐ V—Yes N—No	☐

PART C—Reviews and Approval *(Not to be used by requesting office.)*

1. Office/Function	Initials/Signature	Date	Office/Function	Initials/Signature	Date
			D		
			E.		
			F		

I certify that the information entered on this form is accurate and that the ...sed action is in compliance with statutory and regulatory requirements

Signature	Approval Date

CONTINUED ON REVERSE SIDE

52-115

PART D—Remarks by Requesting Office

(Note to Supervisors: Do you know of additional or conflicting reasons for the employee's resignation/retirement? ☐ YES ☐ NO
If "YES", please state these facts on a separate sheet and attach to SF 52)

PART E—Employee Resignation/Retirement

Privacy Act Statement

You are requested to furnish a specific reason for your resignation or retirement and a forwarding address. Your reason may be considered in any future decision regarding your re-employment in the Federal service and may also be used to determine your eligibility for unemployment compensation benefits. Your forwarding address will be used primarily to mail you copies of any documents you should have or any pay or compensation to which you are entitled.

This information is requested under authority of sections 301, 3301, and 8506 of title 5, U.S. Code. Sections 301 and 3301 authorize OPM and agencies to issue

regulations with regard to employment of individuals in the Federal service and their records, while section 8506 requires agencies to furnish the specific reason for termination of Federal service to the Secretary or Labor or a State agency in connection with administration of unemployment compensation programs.

The furnishing of this information is voluntary; however, failure to provide it may result in your not receiving: (1) your copies of those documents you should have; (2) pay or other compensation due you; and (3) any unemployment compensation benefits to which you may be entitled.

1 Reason for Resignation/Retirement (NOTE: Your reasons are used in determining possible unemployment benefits. Please be specific and avoid generalizations. Your resignation/retirement is effective at the end of the day—midnight—unless you specify otherwise.)

2 Effective Date	3. Your Signature	4 Date Signed	5. Forwarding Address (Number, Street, City, State, ZIP Code)

PART F—Remarks for SF 50

Appendix A13
Award Form

RECOMMENDATION FOR MONETARY AWARD

* Refer to the EPA Awards Manual for individual Award Criteria *

TYPE OF AWARD

⌐ *MERIT PAY CASH AWARD.* A performance-based cash award granted for significant accomplishments related to the individual's Performance Agreement.

☐ *SPECIAL ACT OR SERVICE AWARD.* Given to an individual or group for significant one-time achievements related to official employment. The amount of award is based on the value of tangible and/or intangible benefits accruing from the special act or service.

☐ *SUSTAINED SUPERIOR PERFORMANCE CASH AWARD.* Given in recognition of continued high quality performance of the duties of the employee's position which substantially exceeds performance standards. Amount of award is determined according to a percentage of base pay.

☐ *QUALITY WITHIN-GRADE INCREASE.* An additional within-grade increase granted for sustained high quality performance which is expected to continue in the future.

INFORMATION ON RECIPIENT

NAME *(For group awards attach separate list of names, positions, and SSN's)*	POSITION TITLE, SERIES, GRADE, STEP

ORGANIZATION AND LOCATION

SOCIAL SECURITY NUMBER	TIMEKEEPER NO	PERSON TO RECEIVE CHECK

PERIOD OF SERVICE ON WHICH AWARD IS BASED		MONETARY AWARDS GRANTED IN LAST 52 WEEKS	ACCOUNT NO TO BE CHARGED
FROM	TO		

AMOUNT OF CASH AWARD RECOMMENDED

MERIT PAY	SPECIAL ACT OR SERVICE			SUSTAINED SUPERIOR PERFORMANCE
	TANGIBLE	INTANGIBLE	TOTAL	
$	$	$	$	$

RECOMMENDING, REVIEWING, AND APPROVING OFFICIALS

OFFICIAL	SIGNATURE	TITLE	DATE
RECOMMEND-ING OFFICIAL			
OBLIGATING FUNDS			
PERSONNEL REVIEW			
~VING L	☐ APPROVED ☐ DISAPPROVED		

Please type all information

EPA
United States Environmental Protection Agency
Recommendation and Approval of Incentive Award

tions: This form is used to recommend and approve the incentive awards listed below for EPA employees. For special act and sustained superior performance awards, send the original and two (2) copies of this form directly to the Agency Payroll Office. For Quality Step Increases and Time Off Awards, send the original and two (2) copies of this form to your servicing Human Resources Office.

Type of Award *(please check one)*

☐ *Special Act or Service Cash Award.* Given to an individual or group for significant one-time achievements related to official employment. The amount of award is based on the value of tangible and/or intangible benefits accruing from the special act or service. A written description of the achievement is on file in the recommending official's office.

Indicate amount of tangible benefits here: $ _____

☐ *Sustained Superior Performance Cash Award.* Given in recognition of continued high quality performance of the duties of the employee's position which subtantially exceeds performance standards. Amount of award is based on the employee's current rating of record on file in the servicing Human Resources Office.

☐ *Quality Within-Grade Increase.* An additional within-grade increase granted for sustained high quality performance which is expected to continue in the future. An employee may receive only one QSI in a 52-week period. This award is based on a current rating of record of "outstanding" on file in the servicing Human Resources Office.

☐ *Time Off Award.* A period of excused absence *(administrative leave)* granted for a superior personal effort that contributed to increased quality and effectiveness in the awardee's office. A written description of the achievement is on file in the recommending official's office.

Indicate amount of time off to be granted here: _____ *Hours.*

Information on Recipient

For group awards attach separate list of names and SSN's)	Position Title, Series, Grade, Step	Social Security Number

Organization and Location	Period of Service on Which Award is Based	
	From	To

Certification

We, the recommending and approving officials below, certify that all information on this form is accurate and complete. We further certify that the employee(s) named on this form fully meet the criteria for awards for which they are recommended as described above and in the EPA Awards Manual. We understand that any knowingly false or misleading statements may be punishable by fine or imprisonment or both under applicable laws.

Recommending and Approving Officials

Recommending Official *(Name and Title)*	Signature	Date
Approving Official *(Name and Title)*	Signature	Date

Note: Complete This Part Only For Cash Awards

Amount of Cash Award	Timekeeper No.	Person To Receive Check	
$			
Name and Title of Person Obligating Funds		Signature	Date

EPA Form 3130-1T (12-91)

Appendix A14
NOAC Data Element Requirements

NOAC Data Element Requirements

TAPP Screen #	Field Name	NOAC 100 Series	NOAC 200,300,400,900 (ex 930,931,932,987)	NOAC 500 Series	NOAC 702, 703, 713	NOAC 866,930,931,932,987 & 700 Series (ex 702,703,713)	NOAC 800 Series (ex 866)
H	NOAC1	R	R	R	R	R	R
H	NOAC2	O	O	O	O	O	O
H	SSN	R	R	R	R	R	R
H	SEQ	O	O	O	O	O	O
H	NAME	R	D/O	D/O	D/O	D/X	D/O
1	SF 50	O	O	O	O	O	O
1	ORG CODE	R	O	O	O	O	O
1	POS SEN	R	O	O	O	O	O
1	BIRTH DATE	R	O	N			O
1	VET PREF	R	O	R			X
1	SERV COMP DATE	R	O	O			X
1	TENURE	R	O	R			X
1	RETIREMENT	R	O	O			O
1	FEGLI	R	O	R			X
1	FLSA	R	O	O	O	O	O
1	SEX	R	O	N			O
1	CITIZENSHIP	R	O	N			O
1	EFF DATE	R	R	R	R	R	R
1	ANNUITANT IND	R	O	O			O
1	WK SCHD	R	O	O		X	O
1	COMP LEVEL	R	O	R	O	O	O
1	COMP AREA	O	O	O	O	O	
1	SHRED1	O	O	O	O	O	O
1	AUTH1	X	X	R	R	O	R
1	AUTH2	O	O	O	O	O	R
1	SHRED2	O	O	O	O	O	R
1	AUTH3	O	O	O	O	O	R
1	AUTH4	O	O	O	O	O	O
1	DATE	O	X	R	X	X	O
1	DAYS	O	O	O	O		O
1	HOURS	O	O	O	O		O
1	DOLS	O	O	O	O		O
1	POSITION NO	R	O	R	R	O	O
1	POSITION TITLE	R	O	O	O	O	O
1	FUNCTIONAL TITLE	O	O	O	O	O	
1	EMP OFF CTY/ST	R	O	O	O	O	O
1	CURR APPT AUTH	R	O	R	O	O	O
1	PAY PLAN	R	O	O	R	X	X
1	OCCU CDE	R	O	O	O	O	O
1	GRADE	R	O	O	R	X	X

NOAC Data Element Requirements

TAPP Screen #	Field Name	NOAC 100 Series	NOAC 200,300,400,900 (ex 930,931,932,987)	NOAC 500 Series	NOAC 702, 703, 713	NOAC 866,930,931,932,987 & 700 Series (ex 702,703,713)	NOAC 800 Series (ex 866)
1	STEP	R	O	O	R	X	X
1	SALARY	R	O	O	R	X	X
1	PAY BASIS	R	O	O	R	X	X
1	POS OCCU	R	O	O	O	O	O
1	FIX ACT	R	O	O	O	O	O
1	DES AGT	R	O	O	O	O	O
1	PERM/TEMP	R	O	R			O
1	LEQ DATE	R	O	O	R	O	X
1	WGI CDE	O	O	O	O	O	O
1	SHORT	O	O	O	O	O	O
1	DPT/FLD	R	O	O	O	O	O
1	FILE LOCN	R	O	O	O	O	O
1	DATE AFF	O	O	O			O
1	QUIT CD	N	X	N			O
1	AP TP	X	O	X			X
1	RIF DTE	O	O	O			O
1	PART TIME	O	O	O	O	O	O
1	TSP STATUS	R	O	R			
1	TSP SDATE	X	O	X			
1	TSP SCD	X	O	X			O
1	FERS COV	X	O	X			X
2	CODE	O	O	O	O	O	O
2	2NC INCR	O	O	O	O	O	O
2	3RD INCR	O	O	O	O	O	O
2	STANDBY	O	O	O	O	O	O
2	PLAN	O	O	O	O	X	O
2	GRADE	O	O	O	O	X	O
2	STEP	O	O	O	O	X	O
2	COLA	O	O	O	O	O	O
2	COMP	O	O	O		N	O
2	DESIG	O	O	O		N	O
2	GRADE	O	O	O		N	O
2	RETIRE DT	O	O	O		N	O
2	SUMMER APPOINTMENT	X	O	X		N	O
2	SPEC PRG	O	O	O	O	O	O
2	EMPL OBLG	O	O	O	O	O	O
2	LEAVE ELIG CD	R	O	O	O	O	O
2	LEAVE TRANSFER CD	O	O	O	O		O
2	HEALTH BENEFITS	R	O	O			O
2	DATE SVC YR BEGIN	O	O	O			O

NOAC Data Element Requirements

TAPP Screen #	Field Name	NOAC 100 Series	NOAC 200,300,400,900 (ex 930,931,932,987)	NOAC 500 Series	NOAC 702, 703, 713	NOAC 866,930,931,932,987 & 700 Series (ex 702,703,713)	NOAC 800 Series (ex 866)
2	DATE CAREER QUAL	X	X	X			O
2	DATE PROB PERIOD	X	O	O			O
2	EXCPT SVC BEGIN DATE	X	O	X			O
2	LUMP SUM ELIG					N	O
2	MONTHLY ANNUITY	O	O	O			O
2	RACE & NAT'L ORIGIN	R	O	N			O
2	ALIEN RES/NON-RES	O	O	N			O
2	FRACTIONAL PART CD	O	O	O		O	O
2	COUNTED/NOT CT	O	O	O			O
2	AGENCY FROM/TO	X	X	N			O
2	DATE PERM	O	O	O			
2	PERF RATING	O	O	O		O	O
2	PERFORMANCE SCORE	O	O	O		O	O
2	DT LAST PERF RATE	O	O	O		O	O
2	PATCO	O	O	O	O		O
2	UNIFORM ELIGIBLTY	O	O	O			O
2	PAPER SALARY	O	O	O	O		O
2	HANDICAP CODE	R	O	N			
2	DATE ENT PRES POS	O	O	O		O	O
2	FIN DIS	R	O		O	O	O
2	DT EX SERVICE BEG	O	O				
3	SUPV/NONSUPV	R	O	O	O		O
3	VEV IND	R	O	O			O
3	PRD	R	O	O	R	O	X
3	BARG UNIT ST	R	O	O	O	O	O
3	FUNC CLASS	R	O	O		O	O
3	EDUC LEVEL	R	O	O			O
3	YR DEGR		O	O			O
3	DISC	O	O	O			O
3	LOCATION CDE	R	O	O	O	O	O
3	SON	R	D/O	D/O	D/O	D/O	D/O
3	FROZ CSRS	O	O	O			X
3	CRED MIL SVC	X	X	X			
3	CSRS COV APPT	X	X	O			O
3	AUTHEN DATE	R-X	R-X	R-X	R-X	R-X	R-X
3	TICKLER CODE1	O	X	X	O	X	O
3	TICKLER DATE1	O	X	X	O	X	O
3	TICKLER CODE2	O	O	O	O	O	O
3	TICKLER DATE2	O	O	O	O	O	O
3	TICKLER CODE3	O	O	O	O	O	O

NOAC Data Element Requirements

NOAC 800 Series (ex 866)						
NOAC 866,930,931,932,987 & 700 Series (ex 702,703,713)						
NOAC 702, 703, 713						
NOAC 500 Series						
NOAC 200,300,400,900 (ex 930,931,932,987)						
NOAC 100 Series						
TAPP Screen #	Field Name					
3	TICKLER DATE3	O	O	O	O	O	O
3	TICKLER CODE4	O	O	O	O	O	O
3	TICKLER DATE4	O	O	O	O	O	O
3	TICKLER CODE5	O	O	O	O	O	O
3	TICKLER DATE5	O	O	O	O	O	O
3	REMARK S1	O	O	O	O	O	O
3	REMARKS2	O	O	O	O	O	O
3	REMARKS3	O	O	O	O	O	O
3	REMARKS4	O	O	O	O	O	O
3	REMARKS5	O	O	O	O	O	O
3	REMARKS6	O	O	O	O	O	O
3	REMARKS7	O	O	O	O	O	O
3	FLAG1	O	O	O	O	O	O
3	FLAG2	O	O	O	O	O	O
3	FLAG3	O	O	O	O	O	O
3	REMARKS INSERTION1	O	O	O	O	O	O
3	REMARKS INSERTION2	O	O	O	O	O	O
3	REMARKS INSERTION3	O	O	O	O	O	O
3	REMARKS INSERTION4	O	O	O	O	O	O

Legend: R - Required Field
O - Optional Field
N - Not Allowed Field
X - Optional Field w/ exceptions
blank - Not Required Field
D - Displayed Field

Appendix A15
Related Documents

Related Documents

SF52 actions usually require an extensive amount of supporting information. This information is provided via additional forms and documents. The SF52 system should automate as many of these forms as possible to enhance the SF52 process. Forms that have mostly data fields are easily automated. Forms that have mostly narrative data or come from external organizations or people are more difficult to automate. However, as the design process begins for the SF52 system, all required supporting forms should be reviewed and evaluated in terms of possible automation. The following list reflects many of the SF52 supporting forms:
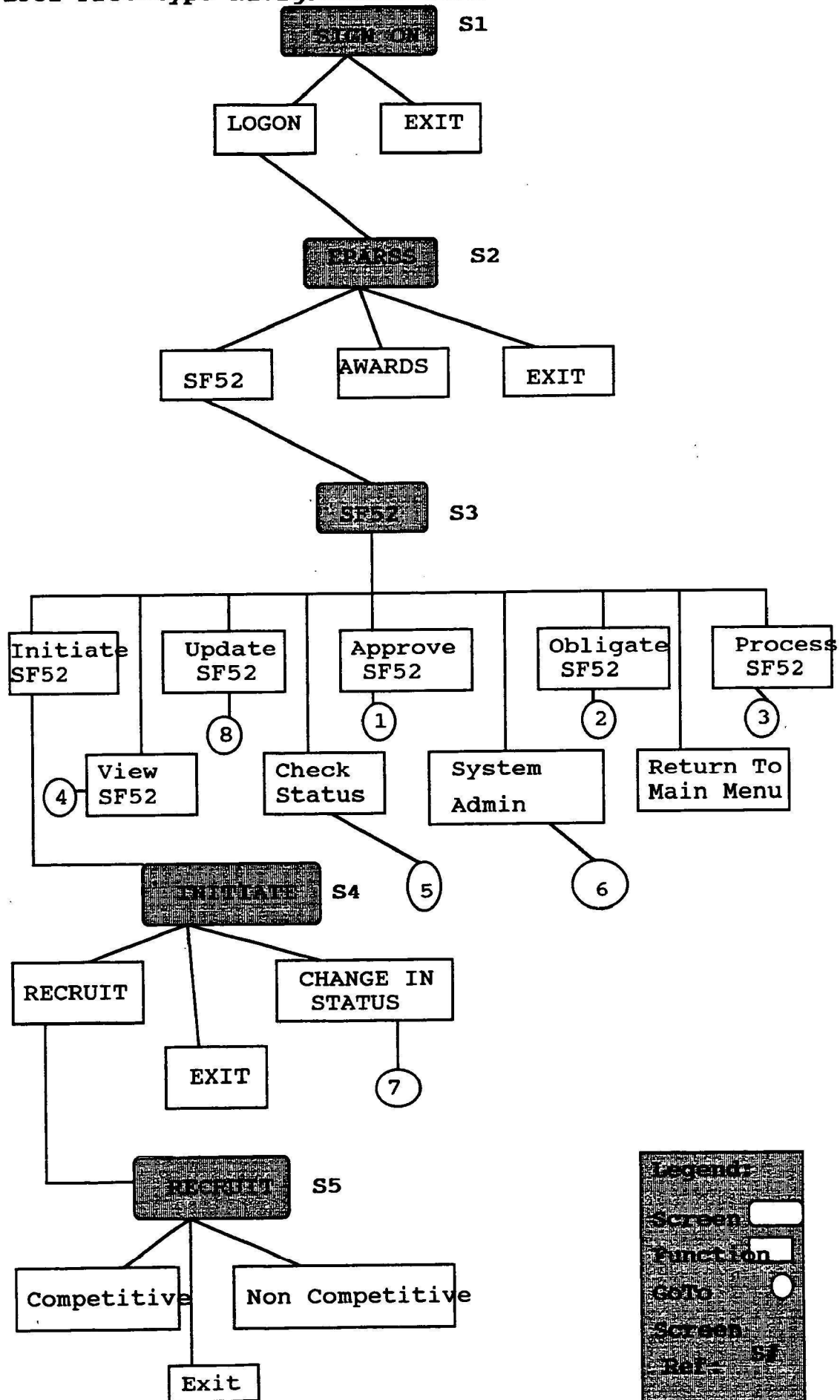
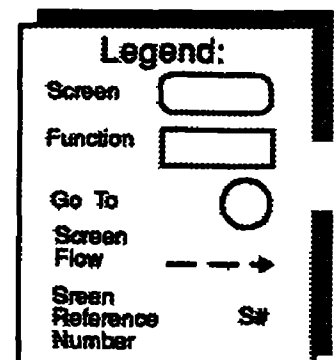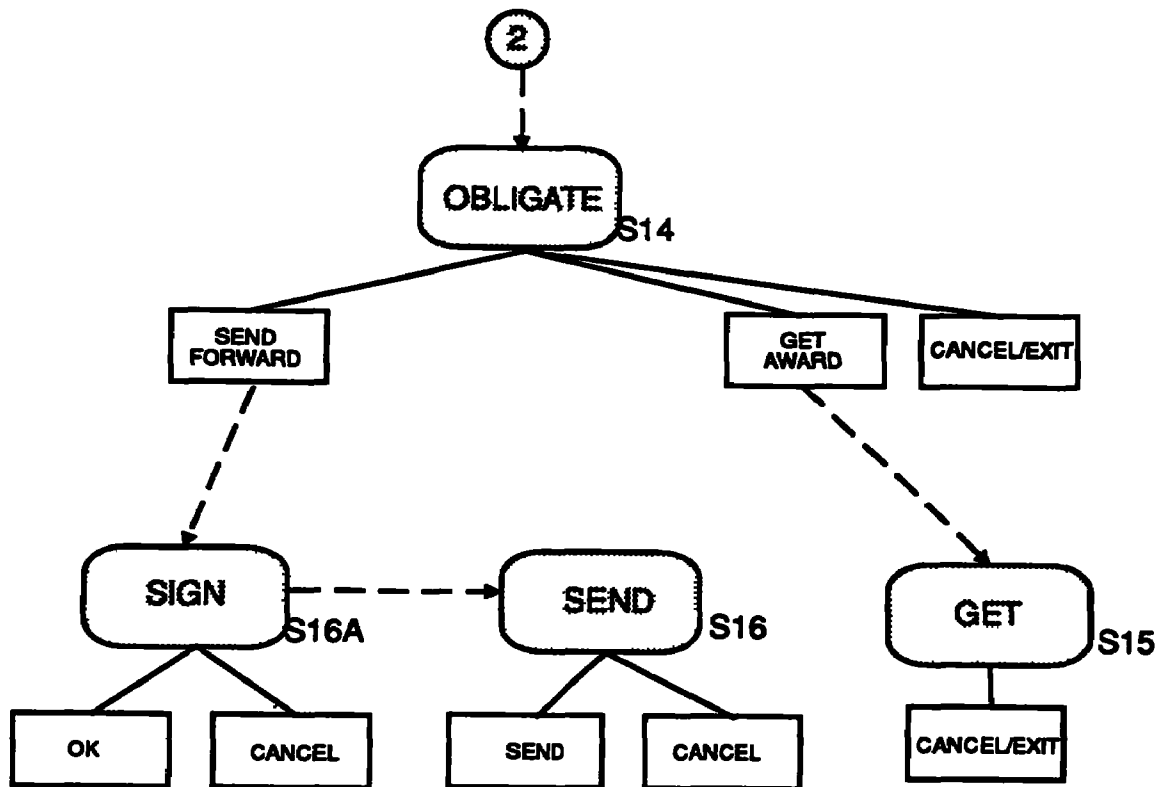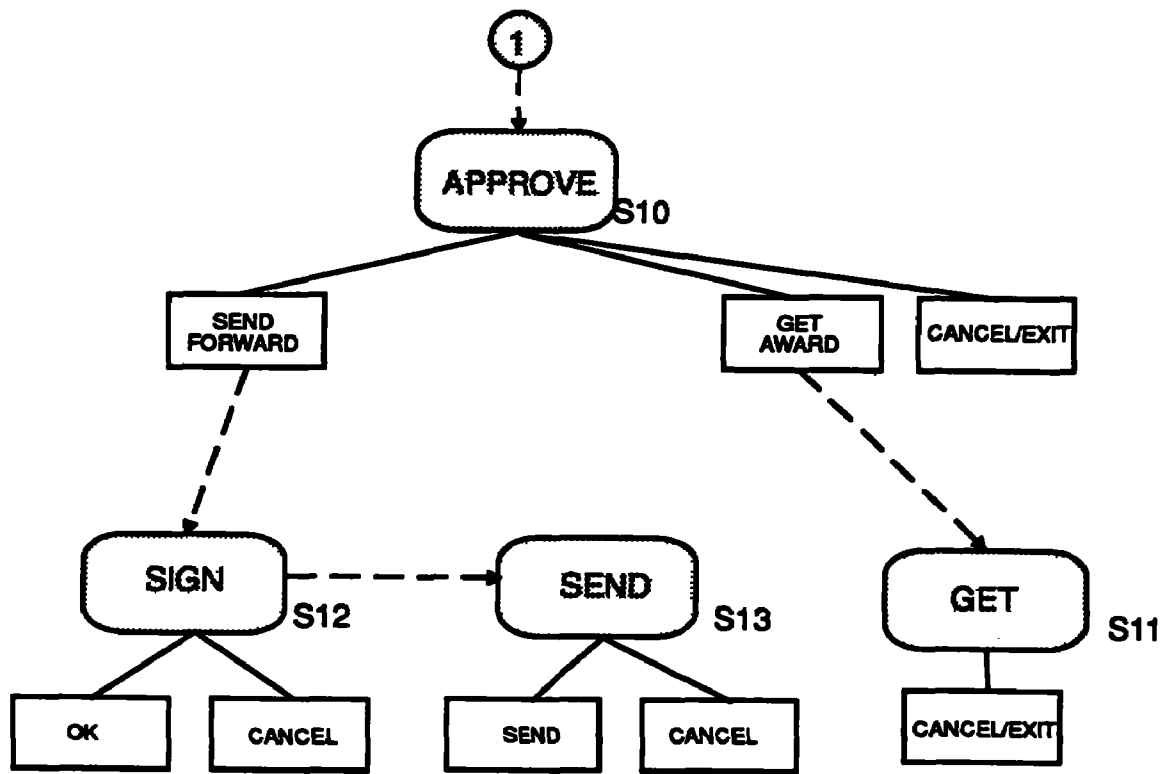|	
PD	PD Coversheet
SF171	SF75
SF278	SF113
SF115	Training Plan
Special Pay/Bonus Forms for Pay Reform	Letter of Understanding for a Temporary
Copy of Previous SF50	Justification for Temporary Position
Letter of Financial Need	Letter of Good Standing in School
Transcript	SF1170
SF140	SF141
Consultant Form	Expert Form
Notice of Results	Self-Certification Forms
IPA Forms	SF71
Notice of Benefits for LWOP	Staffing Requisition
Job Analysis	Basic Qualifications Worksheet
Vacancy Announcement	Rating Specification Sheet
MPP Certificate	Rating Plan
SF39	Bulletin 4
Checkout/Clearance Form	Security Sensitivity Review
Handicap Appointments	

Exhibit E1
SF52 Prototype

SF52 Prototype Navigational Flow

It is important that the following navigational flow charts
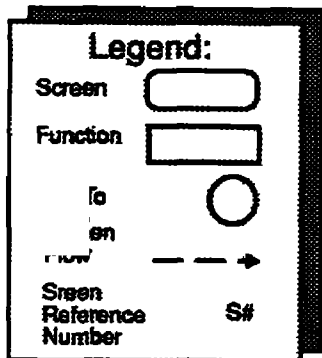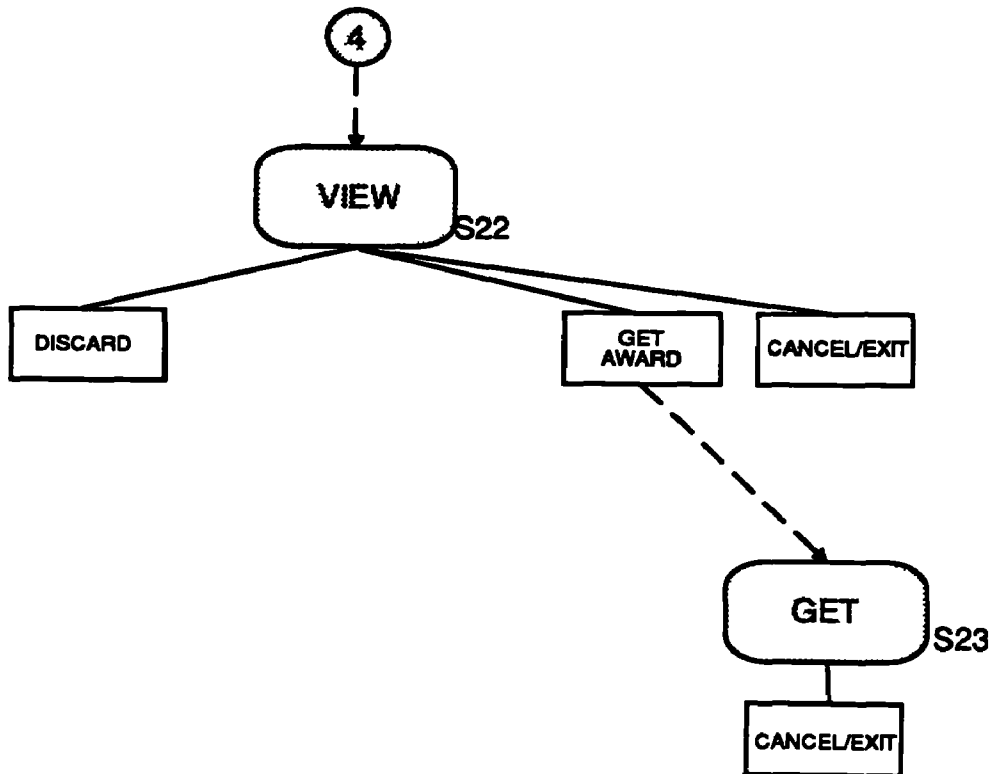of the SF52 system depicted on the following five pages be
used as a guide when reviewing the attached prototype
screens.

SF52 Prototype Navigational Flow

SIGN ON — S1

- LOGON
- EXIT

PRARSS — S2

- SF52
- AWARDS
- EXIT

SF52 — S3

- Initiate SF52
- Update SF52 ⑧
- Approve SF52 ①
- Obligate SF52 ②
- Process SF52 ③
- View SF52 ④
- Check Status ⑤
- System Admin ⑥
- Return To Main Menu

INITIATE — S4

- RECRUIT
- EXIT
- CHANGE IN STATUS ⑦

RECRUIT — S5

- Competitive
- Non Competitive
- Exit

Legend:
- Screen
- Function
- GoTo Screen Ref.

3

PROCESS S17

- **SEND FORWARD**
- **SAVE**
- **GET AWARD**
- **CANCEL/EXIT**

SIGN S20

- **OK**
- **CANCEL**

SEND S21

- **SEND**
- **CANCEL**

GET S19

- **CANCEL/EXIT**

4

VIEW S22

- **DISCARD**
- **GET AWARD**
- **CANCEL/EXIT**

GET S23

- **CANCEL/EXIT**

Legend:

Screen

Function

To
en

Flow

Sreen
Reference   S#
Number

5

SF52
CHECK
STATUS   S26

GET
HISTORY

CLEAR

CANCEL/EXIT

6

SYSTEM
ADMIN   S24

MAINTAIN
AUTHORITY
DATA

RELOCATE
SF52
IN PROCESS

INITIALIZE
FILES

EXIT

AUTHORITY   S25

SAVE

GET
RECORD

DELETE
RECORD

CANCEL/EXIT

Legend:

Screen

Function

Go To

Screen
Flow

Sreen
Reference   S#
Number

⑦ — [Change Status] S6

Detail   Conversion   Reassignment   Promotion

Separation   Misc Change   Return To menu

[_____] S7

Send Forward   Finish Later   Get SF52   Discard

[SEND] S9

[GET] S8

Send   Cancel

Cancel

⑧ — [_____] S9A

Send Forward   Finish Later   Get SF52   Discard

[SEND] S9B

[GET] S9C

Send   Cancel

Cancel
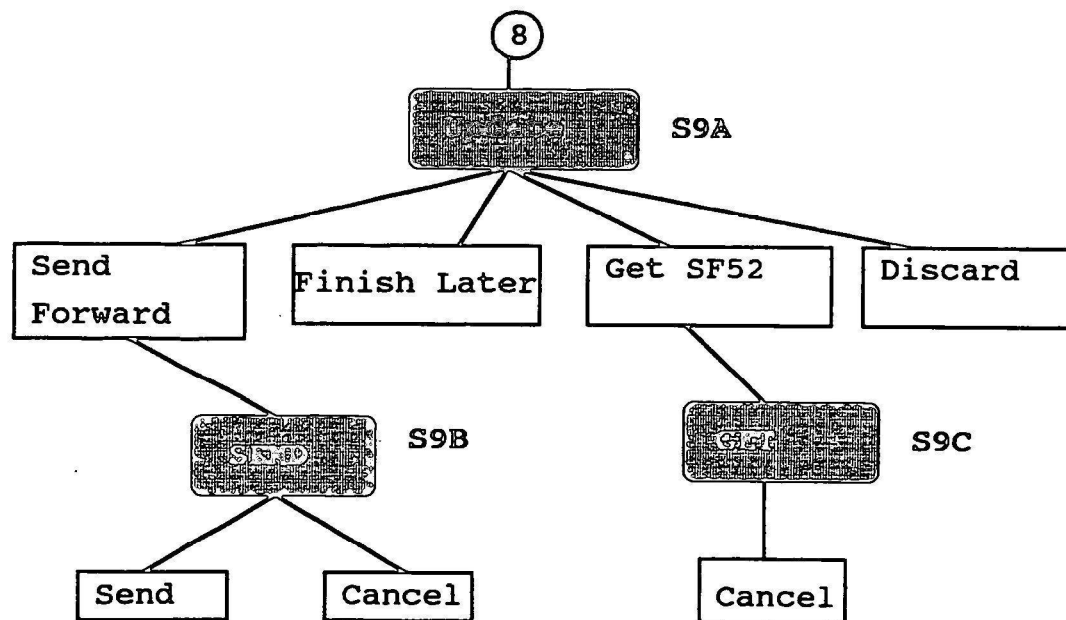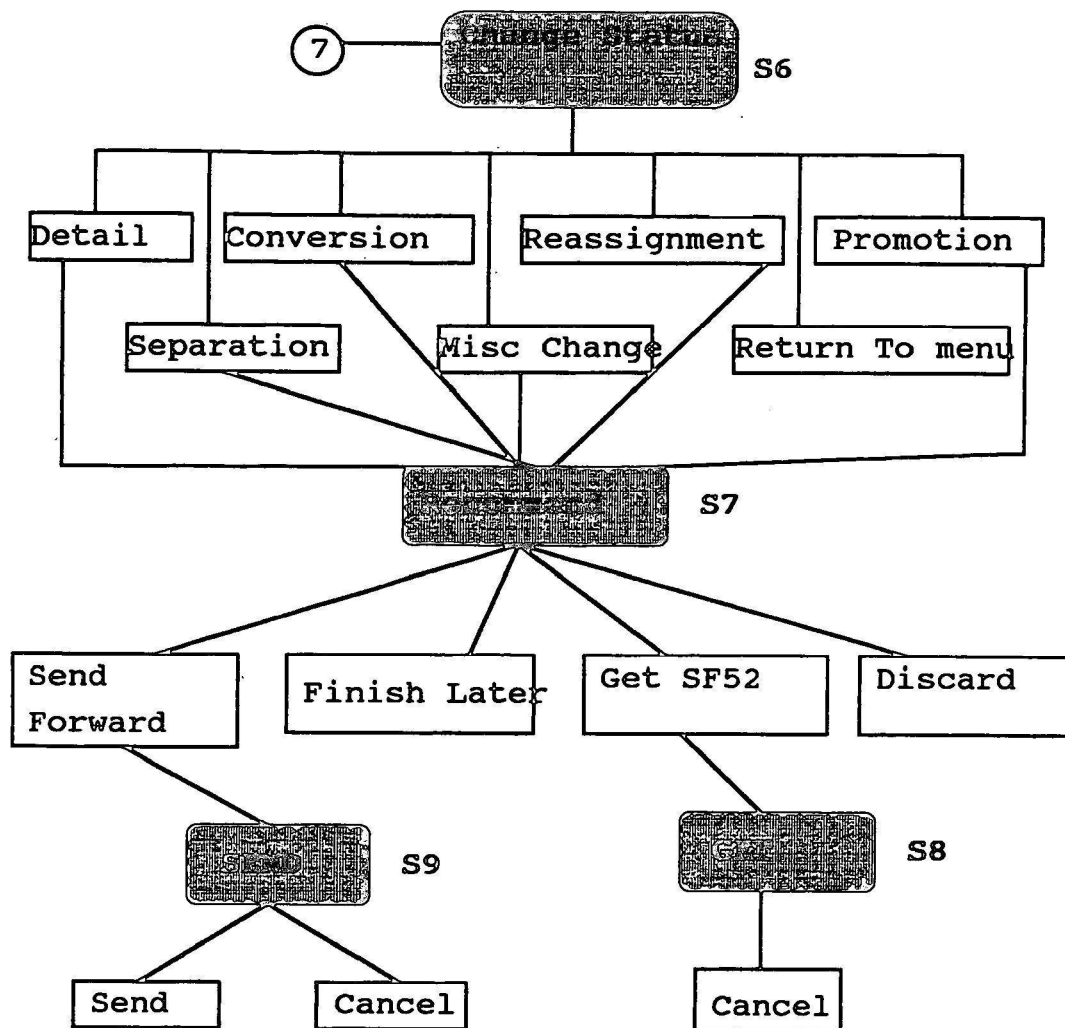
SF52 Set-up Procedures

The SF52 Prototype will only operate under MS Windows.

1. Set-up a directory called VB on your C: drive (it _must_ be on the C: drive)

2. Set-up an SF52 sub directory under the VB directory

3. Copy the three files from the diskette to the C:\VB\SF52 sub directory:

    VBRUN100.DLL
    SF52.EXE
    PERSONEL.FLE

3. Set-up a Program Item under Windows like the example.

    Click on the Program Group that you want the SF52 icon in
    Select File
    Select New
    Select Program Item, Select OK
    Complete as shown below
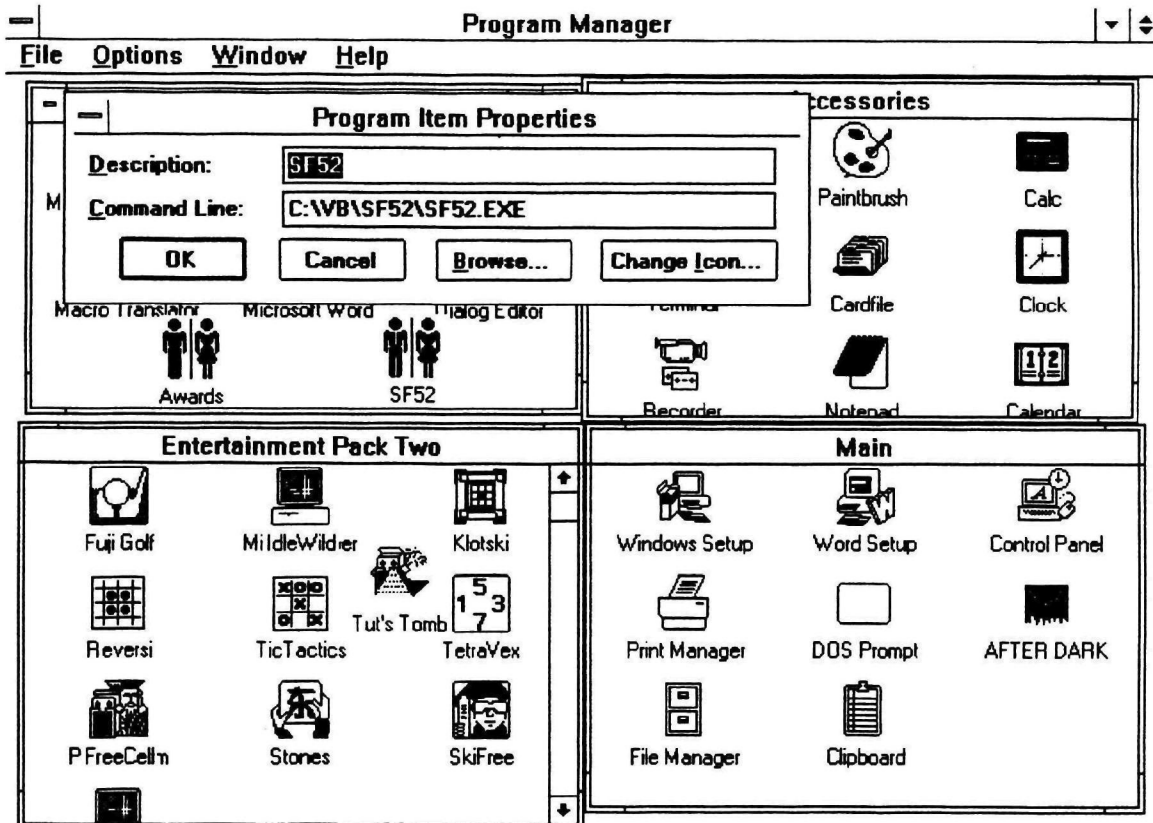
4. Double Click on the SF52 icon to start the SF52 Prototype

NOTE: Use the TAB key to move from one data field to the next. You can also use the mouse.

Attached is the mock-up personnel database available for the SF52 Prototype. Only the SSNs included in the list can be used with the SF52 Prototype.

5. Enter "First" (Capital F small irst) as the User ID (password not required) and click LOGON

6. Click SF52

7. Click System Administration

8. Click INITIALIZE FILES. Select Yes and then Select Yes again. Select OK. This is only done the first time. It sets-up empty SF52 Prototype files. It can be repeated if you want to start over again at any time.

9. Click MAINTAIN AUTHORITY DATA

10. Set-up the various users of the system.

    User ID can only be between 1 and 25
    Password up to 8 characters
    Name up to 25 characters
    Org Code anything
    Signature Authority up to 8 characters, required if signing an SF52 (blank if a secretary or administrative assistant)
    Select the various Authorities the user can have (select as many as appropriate)
    Click Save

    Repeat as needed to set up all the users

11. Click Cancel/Exit until you exit to the Log-on screen.

12. Log-on as a new user (one you just set-up) and experiment with the SF52 Prototype.

13. Repeat steps 11 to 12 to see how an SF52 moves from one person to the next.

Prototype Personnel Database

SSN,Name,Title,Series,Grade,Step,Organization,Location,Account,Salary,Performance,50%NextLevel,HoursTakenTo-date,AwardsTo-date

```
000000000,Elvis Presley,Famous Singer,1111,12,10,12345678,Tennessee,A455gh550,"$45,000",S,+,65,4500
111111111,Hulk Hogan,Wrestler,0334,14,00,34034005,Wash    DC,A2513FGX0,"$26,500",E,,75,5300
123456789,Uncle Sam,Fed Government,0340,13,08,34034001,Chicago,A2517jGX6,"$34,350",O,+,45,4870
222222222,Mickey Mouse,Politician,1234,12,10,11111111, Florida,123456789,"$19,500",S,+,80,3900
333333333,Joe Gibbs,NFL Champion,0334,14,00,34034005,Wash    DC,A2513FGX0,"$39,000",S,+,80,3900
444444444,Ric Flair,Pen Inventor,0341,03,10,12345678,California,T234r5ty9,"$105,000",S,+,80,3900
555555555,Don Ho,Singer,1345,13,10,10345634,Hawaii,A452rh550,"$76,890",S,+,80,3900
666666666,Bat Man,Crime Fighter,0301,15,00,34034002,Wash    DC,A2527jGX0,"$51,123",S,+,80,3900
777777777,Spider Man,American Hero,1234,09,10,11111375,Newyork,12345rt45,"$29,875",S,+,80,3900
888888888,Captain Cook,Pirate,2310,14,07,91034005,Seattle,A2513FGX0,"$61,367",S,+,80,3900
999999999,Michael Jackson,Pop Star,0301,11,10,90912345,Hollywood,A045ery4a,"$105,000",E,+,0,0
```

EPA Personnel Action Request And Servicing System

Please Sign On to EPARSS

Your UserID #:

Password:

LOGON   EXIT

This is a PROTOTYPE. It was built to demonstrate system navigation and certain functionality. It will also assist with identifying, refining and validating system requirements. It is not intended to be a fully functional operational system.

The Prototype was built to be flexible and reasonably easy to change. This permits the Prototype to be quickly modified to reflect changes in the Human Resources community's functional requirements.

There are inefficiencies, limitations, minimal edit and validation processes, and operational constraints. These deficiencies were intentionally left in the Prototype. Consequently, you may encounter irregularities which may not necessarily be "errors".

EPA Personnel Action Request And Servicing System

SF 52

AWARDS

EXIT

EPA Personnel Action Request And Servicing System

Standard Form 52

SF52 Pending Action

Initiate SF52	
Update SF52	
Approve SF52	
Obligate SF52	
Process SF52	
SF52 View	
Check Status	

| System Administration | Return To Main Menu |

System Administrator Functions

MAINTAIN AUTHORITY DATA

RELOCATE SF52 IN PROCESS

INITIALIZE FILES

EXIT

Maintain Authority For SF52 SubSystem

User ID ☐

Authorities

Password ☐

☐ Initiate

☐ Approve

Name ☐

☐ Obligate

Org Code ☐

☐ Process

☐ View

Signature Authority Code ☐

☐ SysAdmin

☐ Classifier

☐ Staffer

| SAVE | GET RECORD | DELETE RECORD | CANCEL/EXIT |

SF52 Prototype Screens

Please Sign On to EPARSS

Your UserID #:   [   ]

Password: [██████]

[LOGON]   [EXIT]

This is a PROTOTYPE. It was built to demonstrate system navigation and certain functionality. It will also assist with identifying, refining and validating system requirements. It is not intended to be a fully functional operational system.

The Prototype was built to be flexible and reasonably easy to change. This permits the Prototype to be quickly modified to reflect changes in the Human Resources community's functional requirements.

There are inefficiencies, limitations, minimal edit and validation processes, and operational constraints. These deficiencies were intentionally left in the Prototype. Consequently, you may encounter irregularities which may not necessarily be "errors".

SF 52

AWARDS

EXIT

Standard Form 52

SF52 Pending Action

Initiate SF52

Update SF52

Approve SF52

Obligate SF52

SF52 View

Check Status

Return To Main Menu

EPA Personnel Action Request And Servicing System

Standard Form 52

SF52 Pending Action

Initiate SF52

Update SF52

Approve SF52

Obligate SF52

Process SF52

SF52 View

Check Status

System Administration

Return To Main Menu

SF52

CHANGE STATUS

RECRUIT

EXIT

EPA Personnel Action Request And Servicing System

SF52 RECRUIT

COMPETITIVE

NON COMPETITIVE

EXIT

EPA Personnel Action Request And Servicing System

Standard Form 52

Detail / Misc Job Change

Conversion

Reassignment

Separation

Misc Change

Promotion

Return To Main Menu

SF52 Form   Action:

INFORMATION ON EMPLOYEE

Social Security Number [   ]   Name [   ]

From Data   **To Data**

Position Title   Position Title

[   ]   [   ]

Series	PayPlan	Grade	Step	Salary

[   ] [   ] [   ] [   ] [   ]   [   ] [   ] [   ] [   ] [   ]

Orgcode   Location   PD Number

[   ] [   ] [   ]   Orgcode,   Location,   PD Number

[   ] [   ] [   ]

Account No [   ]   Account No [   ]

Effective Date: [   ]   NTE date   [   ]

[SEND FORWARD]   [FINISH LATER]   [DISCARD]   [GET SF52]   [CANCEL/EXIT]

List1

Double Click on Your Selection.

CANCEL/EXIT

List1

○ Approval
○ Obligate Funds
○ Human Resources
○ View Only
○ Back To Initiator

SEND

CANCEL

SF52 Form   Action: [   ]

INFORMATION ON EMPLOYEE

Social Security Number [   ]   Name [   ]

From Data		To Data

Position Title [   ]   Position Title [   ]

[   ]   [   ]

Series   PayPlan   Grade Step Salary   Series   PayPlan Grade Step Salary

[   ] [   ] [ ] [   ] [   ]   [   ] [   ] [ ] [ ] [   ]

Orgcode   Location   PD Number   Orgcode.   Location.   PD Number

[   ] [   ] [   ]   [   ] [   ] [   ]

Account No [   ]   Account No [   ]

Effective Date: [   ]   NTE date   [   ]

SEND FORWARD	FINISH LATER	DISCARD	GET SF52	CANCEL/EXIT

SF52 Select Routine

List1

Double Click on Your Selection.

CANCEL/EXIT

List1

- ○ Approval
- ○ Obligate Funds
- ○ Human Resources
- ○ View Only
- ○ Back To Initiator

SEND   CANCEL

Approval of SF52 Form   Action: [____]

INFORMATION ON EMPLOYEE

Social Security Number [_____]   Name [_____]

From Data

Position Title [____]

[_____]

Series   PayPlan   Grade Step   Salary [_____]

[_____] [____] [__] [__] [_____]

Orgcode   Location   PD Number [____]

[_____] [_____] [_____]

Account No [_____]

To Data

Position Title [____]

[_____]

Series   PayPlan Grade Step Salary [_____]

[_____] [____] [__] [__] [_____]

Orgcode,   Location,   PD Number

[_____] [_____] [_____]

Account No [_____]

Effective Date: [_____]   NTE date   [_____]

[SEND FORWARD]   [DISCARD]   [GET SF52]   [CANCEL/EXIT]

List1

Double Click on Your Selection.

CANCEL/EXIT

Certification

We, the recommending and approving officials below, certify that all information on this form is accurate and complete.
We understand that any knowingly false or misleading statements may be punishable by fine or imprisonment or both under applicable laws.

This Person Already Signed   **Date**

Signature
Authority

[OK]   [Cancel]

```
List1
```

○ Approval

○ Obligate Funds

○ Human Resources

○ View Only

○ Back To Initiator

SEND   CANCEL

Obligate SF52 Form   Action: [   ]

INFORMATION ON EMPLOYEE

Social Security Number [   ]   Name: [   ]

From Data   **To Data**

Position Title [   ]   Position Title [   ]

[   ]   [   ]

Series   PayPlan   Grade Step Salary   Series   PayPlan Grade Step Salary

[   ] [   ] [   ] [   ] [   ]   [   ] [   ] [   ] [   ] [   ]

Orgcode   Location   PD Number   Orgcode,   Location,   PD Number

[   ] [   ] [   ]   [   ] [   ] [   ]

Account No [   ]   Account No [   ]

Effective Date: [   ] NTE date   [   ]

[SEND FORWARD]   [DISCARD]   [GET SF52]   [CANCEL/EXIT]

SF52 Select Routine

List1

Double Click on Your Selection.

CANCEL/EXIT

List1

List1

○ Approval

○ Obligate Funds

○ Human Resources

○ View Only

○ Back To Initiator

SEND   **CANCEL**

Signature for Approval of ...

Certification

*We, the recommending and approving officials
below, certify that all information on this form
is accurate and complete.
We understand that any knowingly false or misleading
ments may be punishable by fine or imprisonment or
under applicable laws.*

This Person Already Signed   **Date**

**Signature
Authority**

[OK]   [Cancel]

SSN [■■■■■■]   Action [■■■■■■]   Name: [■■■■■■■■■■■■■■]

==

SF 50: ☐   Org Code: [_____]   Pos Sen: ☐   Birth Date: [_____]

Vet Pref: ☐   SCD: [_____]   Tenure: ☐   Retirement: ☐

FEGLI: ☐   FLSA: ☐   SEX: ☐   Citizenship: ☐   File Locn: [_____]

Eff Date: [_____]   Annuitant Ind: ☐   Wk Schd: ☐   Comp Level: [_____]

NOAC: [___]   Shred: ☐   Auth: [___]   NOAC: [___]   Shred: ☐   Auth: [___]

Limitations: Date: [_____]   Days: [___]   Hours: [___]   Dols: [_____]

PD No: [_____]   Position Title: [_____]   Cur Appt Auth: [_____]

Functional Title: [_____]   Emp Off Cty/ST [___] [___]

Pay Plan: [___]   Grade: [___]   Step: [___]   Salary: [_____]   Pay Basis: [___]

Series: [___]   Fin Acct: [_____]   Des Agt [___]   Perm/Temp: [___]

Pos Occu: [___]   Wgi Cd: ☐   Short [___]   Dpt/Hd ☐   Hd date: [_____]

Leq Date: [_____]   Date Aff: [_____]   Quit Cd: ☐   Ap Tp: ☐   Part Time: ☐

Tsp St: ☐   Tsp SDt: [_____]   Tsp Dt: [_____]   Tsp Scd: [_____]   Fers Cov: ☐

[SEND SF52]   [SAVE SF52]   [GET SF52]   [Next Screen]   [CANCEL/EXIT]

SSN ████████   Action ████████   Name: ████████████████

===

SI   Code: ☐   2nd Incr: ☐   3rd Incr: ☐   Stand By: ☐

RI   E   Plan: ☐   Grade: ☐   Step: ☐   COLA: ☐

Unifrom SERV Comp: ☐   Desig: ☐   Grade: ☐   Retire Dt: ☐

Summer Appointment: ☐   Spec Prg: ☐   App ref: ☐   MPP: ☐   Cmpl Oblg: ☐

Leave Elig Cd: ☐   Leave Transfer Cd: ☐   Health Benefits: ☐

Allien res/Non ☐   Monthly Annuity ☐   Fractional Part cd: ☐

Counted/Not Ct ☐   Agency From/to: ☐   Date perm: ☐

Perf rating: ☐   Performance Score: ☐   Dt last Perf Rate ☐

PATCO: ☐   Uniform eligibility ☐   Paper Salary: ☐

Lump Sum Elig ☐   Handicap Code: ☐   Date Ent Pres Pos: ☐

Race Natl Orig:: ☐   Dt Prob Period: ☐   Dt Career Quality: ☐

Fin Dis: ☐   Dt Ex Service Beg: ☐   Dt Serv Year Begin: ☐

[Previous Screen]   [Next Screen]   [CANCEL/EXIT]

SSN ████████   Action ██████   Name: ███████████████

==

SUPV/NonSupv:: [ ]   Vev Ind: [ ]   Prd: [ ]   Barg unit St: [   ]   Func Class: : [ ]

Edu Level: [ ]   Yr Degr: [ ]   Disc: [   ]

Location Cde: [ ]   SON: [   ]   CSRS Cov Appt: [ ]

Froz CSRS: [   ]   Cred Mil Svc: [   ]   Fome: [ ]

Authen Date: [   ]   Tickler Code: [ ] Date: [   ]

Code: [ ]   Date: [   ]   Code: [ ]   Date: [   ]   Code: [ ]

Date: [   ]   Code: [ ]   Date: [   ]

Remark Codes: [ ] [ ] [ ] [ ] [ ] [ ]   Flag1: [ ]   Flag2: [ ] Flag3: [ ]

Insertions: [   ]

            [Previous screen]   [CANCEL/EXIT]

SF52 Select Routine

List1

Double Click on Your Selection.

CANCEL/EXIT

Certification

*We, the recommending and approving officials
below, certify that all information on this form
is accurate and complete.
We understand that any knowingly false or misleading
statements may be punishable by fine or imprisonment or
both under applicable laws.*

This Person Already Signed   **Date**

**Signature
Authority**

[OK]   [Cancel]

Certification

*We, the recommending and approving officials
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statements may be punishable by fine or imprisonment or
both under applicable laws.*
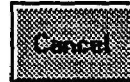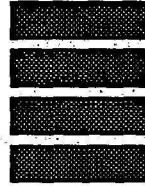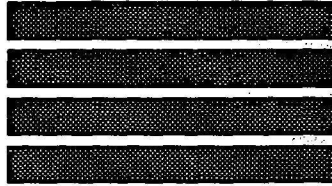
List1

○ Send Back

○ Send to Classifiers

○ Send to Staffer

○ Send To Processors

○ Send To EPAYS

SEND

CANCEL

SF52 View

Action: [_____]

INFORMATION ON EMPLOYEE

Social Security Number [_____]

Name [_____]

From Data

Position Title, Series, Pay plan, Grade, Step, Salary

[_____]

[____] [____] [____] [____] [_____]

Orgcode, Location, Pd Number

[____] [____] [____]

Account No [_____]

To Data

Position Title, Series, PP, Grade, Step, Salary

[_____]

[____] [____] [____] [____] [_____]

Orgcode, Loaction, Pd Number

[____] [_____] [_____]

Effective Date: [_____]

NTE date [_____]

Account No [_____]

[DISCARD]   [GET SF52]   [CANCEL/EXIT]

List1

Double Click on Your Selection.

CANCEL/EXIT

MAINTAIN AUTHORITY DATA	
RELOCATE SF52 IN PROCESS	
INITIALIZE FILES	
EXIT	

Maintain Authority For SF52 SubSystem

User ID [ ]

Password [ ]

Name [ ]

Org Code [ ]

Signature
Authority
Code [ ]

Authorities

☐ Initiate

☐ Approve

☐ Obligate

☐ Process

☐ View

☐ SysAdmin

☐ Classifier

☐ Staffer

[SAVE] [GET RECORD] [DELETE RECORD] [CANCEL/EXIT]

SSN

Name

ACTION

SF52 Type

Date Sent

DateSent

To

SentTo

For

SentFor

GET HISTORY

CLEAR

CANCEL/EXIT

Exhibit E2
Awards Prototype

Award Prototype Navigational Flow

① → APPROVE A5
- SIGN - - → SIGN A13
  - OK
  - CANCEL
- SEND FORWARD - - → SEND A15
  - SEND
  - CANCEL
- GET AWARD - - → GET A12
  - CANCEL/EXIT
- CANCEL/EXIT

② → OBLIGATE A6
- SIGN - - → SIGN A13
  - OK
  - CANCEL
- SEND FORWARD - - → SEND A15
  - SEND
  - CANCEL
- GET AWARD - - → GET A12
  - CANCEL/EXIT
- CANCEL/EXIT

Legend:
- Screen
- Function
- Go To
- Screen Flow - - →
- Sreen Reference Number   A#

```
        (3)
         │
         ▼
    ┌─────────┐
    │ PROCESS │ A7
    └─────────┘
     ╱    │    ╲
┌────────┐  ┌───────┐  ┌────────────┐
│ SEND   │  │ GET   │  │ CANCEL/EXIT│
│FORWARD │  │ AWARD │  └────────────┘
└────────┘  └───────┘
     ╲          ╲
   ┌────────┐  ┌────────┐
   │  SEND  │A16│  GET  │A12
   └────────┘  └────────┘
    ╱    ╲         │
┌──────┐┌────────┐┌────────────┐
│ SEND ││ CANCEL ││CANCEL/EXIT │
└──────┘└────────┘└────────────┘
```

```
        (4)
         │
         ▼
    ┌─────────┐
    │  VIEW   │ A8
    └─────────┘
     ╱    │    ╲
┌─────────┐ ┌───────┐ ┌────────────┐
│ DISCARD │ │ GET   │ │CANCEL/EXIT │
└─────────┘ │ AWARD │ └────────────┘
            └───────┘
                 ╲
             ┌────────┐
             │  GET   │A12
             └────────┘
                  │
             ┌────────────┐
             │CANCEL/EXIT │
             └────────────┘
```

Legend:

Screen	(rounded rectangle)
Function	(rectangle)
o To creen	◯
Flow	──────▶
Sreen Reference Number	A#

⑤

AWARD TRACKING HISTORY A9

GET HISTORY

CLEAR

CANCEL/EXIT

⑥

SYSTEM ADMIN A10

MAINTAIN AUTHORITY DATA

RELOCATE AN AWARD IN PROCESS

INITIALIZE FILES

EXIT

AUTHORITY A11

SAVE

GET RECORD

DELETE RECORD

CANCEL/EXIT

NOT PRO- GRAMMED A17

CANCEL/EXIT

Legend:

Screen

Function

Go To Screen

Flow

Sreen Reference Number   A#

Award Set-up Procedures

The Award Prototype will only operate under MS Windows.

1. Set-up a directory called VB on your C: drive (it <u>must</u> be on the C: drive)

2. Set-up an EPARSS sub directory under the VB directory

3. Copy the three files from the diskette to the C:\VB\EPARSS sub directory:

   VBRUN100.DLL
   EPARSS.EXE
   PERSONEL.FLE

3. Set-up a Program Item under Windows like the example.

   Click on the Program Group that you want the EPARSS icon in
   Select File
   Select New
   Select Program Item, Select OK
   Complete as shown below
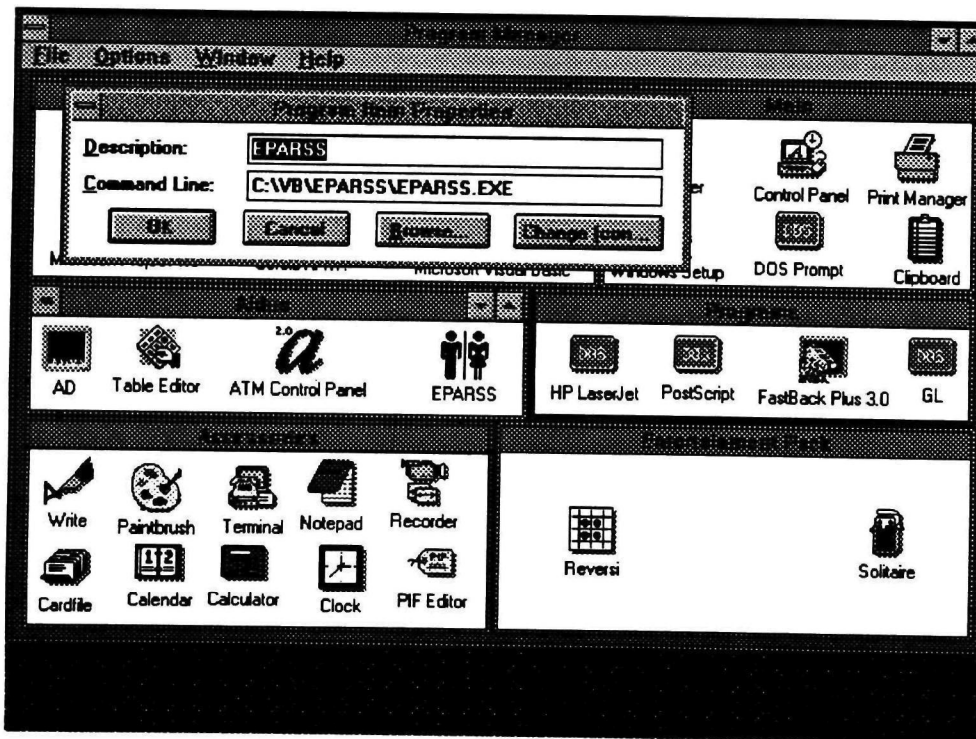
4. Double Click on the EPARSS icon to start the Award Prototype

NOTE: Use the TAB key to move from one data field to the next. You can also use the mouse.

Attached is the mock-up personnel database available for the Award Prototype. Only the SSNs included in the list can be used with the Award Prototype.

5. Enter "First" (Capital F small irst) as the User ID (password not required) and click LOGON

6. Click AWARDS

7. Click System Administration

8. Click INITIALIZE FILES. Select Yes and then Select Yes again. Select OK. This is only done the first time. It sets-up empty Award Prototype files. It can be repeated if you want to start over again at any time.

9. Click MAINTAIN AUTHORITY DATA

10. Set-up the various users of the system.

   User ID can only be between 1 and 25
   Password up to 8 characters
   Name up to 25 characters
   Org Code anything
   Signature Authority up to 8 characters, required if signing an award
      (blank if a secretary or administrative assistant)
   Delegation of Authority is the dollar amount of an award that an
      Approver can sign (only required for Approver)
   Select the various Authorities the user can have (select as many as
      appropriate)
   Click Save

   Repeat as needed to set up all the users

11. Click Cancel/Exit until you exit to the Log-on screen.

12. Log-on as a new user (one you just set-up) and experiment with the Award Prototype.

13. Repeat steps 11 to 12 to see how an award moves from one person to the next.

Prototype Personnel Database

SSN,Name,Title,Series,Grade,Step,Organization,Location,Account,Salary,Performance,50%NextLevel,HoursTakenTo-date,AwardsTo-date

```
000000000,Elvis Presley,Famous Singer,1111,12,10,12345678,Tennessee,A455gh550,"$45,000",S,+,65,4500
111111111,Hulk Hogan,Wrestler,0334,14,00,34034005,Wash    DC,A2513FGX0,"$26,500",E,,75,5300
123456789,Uncle Sam,Fed Government,0340,13,08,34034001,Chicago,A2517jGX6,"$34,350",O,+,45,4870
222222222,Mickey Mouse,Politician,1234,12,10,11111111, Florida,123456789,"$19,500",S,+,80,3900
333333333,Joe Gibbs,NFL Champion,0334,14,00,34034005,Wash    DC,A2513FGX0,"$39,000",S,+,80,3900
444444444,Ric Flair,Pen Inventor,0341,03,10,12345678,California,T234r5ty9,"$105,000",S,+,80,3900
555555555,Don Ho,Singer,1345,13,10,10345634,Hawaii,A452rh550,"$76,890",S,+,80,3900
666666666,Bat Man,Crime Fighter,0301,15,00,34034002,Wash    DC,A2527jGX0,"$51,123",S,+,80,3900
777777777,Spider Man,American Hero,1234,09,10,11111375,Newyork,12345rt45,"$29,875",S,+,80,3900
888888888,Captain Cook,Pirate,2310,14,07,91034005,Seattle,A2513FGX0,"$61,367",S,+,80,3900
999999999,Michael Jackson,Pop Star,0301,11,10,90912345,Hollywood,A045ery4a,"$105,000",E,+,0,0
```