

Chapter 13. Senior Executive Service (SES)
(Natures of Action 142, 143, 145, 146, 147, 148, 149, 190, 542, 543, 546, 548,
549, 590, and 762)

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Chapter 13. Senior Executive Service (SES)

1. Coverage.

This chapter covers all appointments, conversions to appointments, and extensions of limited appointments in the Senior Executive Service.

2. Definitions.

a. An appointment establishes an individual as an employee of the agency.

b. A conversion changes an employee from one appointment to another appointment in the same agency without a break in service (for example, from the competitive service to the Senior Executive Service, from a Senior Executive Service Noncareer to a Senior Executive Service Career Appointment or vice versa, or from the excepted service to the Senior Executive Service).

c. A Provisional Appt NTE is the nature of action used for a temporary appointment to a continuing position when the agency intends later to convert the employee to a nontemporary appointment.

3. Instructions.

(When the person being appointed is retired from Federal civilian service, *** follow the instructions in Chapter >3< as well as those below.)

a. For actions involving persons already employees of your agency, compare data on the Standard Form 52, Request for Personnel Action, submitted by requesting office with the last action in the employee's Official Personnel

Folder to be sure they are correct.

b. If the employee is being converted to a new appointment on the same date that he or she returns to duty from nonpay status, both the return to duty and the conversion must be documented. Follow the instructions in Chapter 16 to document the return to duty and the instructions in this chapter to document the conversion. If the actions are being documented on a single Standard Form 52 (and Standard Form 50, Notification of Personnel Action), enter the nature of action and authority for the return to duty in blocks 5A-5F and those for the conversion in blocks 6A-6F.

c. If the employee's work schedule, or the number of hours he or she works on a part-time basis, will change as a result of a conversion action, the new schedule/hours must be documented. Follow the instructions in Chapter 24 to select the nature of action, authority, and remarks for the change in work schedule or hours.

(1) If the conversion and the change in work schedule or hours are being documented on a single Standard Form 52 (and Standard Form 50), enter the nature of action and authority for the change in work schedule or hours in blocks 6A-6F; for an action to change the hours, enter the new hours per pay period in block 33.

(2) When a return to duty and a conversion are effective on the same date as a change in work schedule or hours, and the return to duty and conversion are being

recorded on the same action, document the new work schedule in block 32 and the new hours in block 33; there is no need for separate actions to change the work schedule and change the hours.

d. Use Table 13-A or 13-B to select the nature of action, legal authority, and remarks for the appointment or conversion and put them in blocks 5A-5F and Part F of the Standard Form 52. If the action is being taken under an authority that is unique to your department or agency, cite that authority (along with the authority code approved by the Office of Personnel Management) instead of the authority and code shown in this chapter.

e. Use Table 13-C to select codes for remarks required in special situations.

f. Use Table 13-D to convert remarks codes into remarks and enter remarks in Part F of the Standard Form 52.

g. Fill in remaining blocks on the Standard Form 52 as required by instructions in Chapter 4. Follow your agency's instructions to obtain approval signature in Part C, block 2, of the Standard Form 52.

h. Follow instructions in Chapter 4 to complete the Standard Form 50. Follow your agency's instructions to have it signed or

authenticated.

j. Check **The Guide to Personnel Recordkeeping** to decide if any of the documents submitted with or created in connection with the action should be filed on the right side of the employee's Official Personnel Folder. Follow your agency's instructions to dispose of those not filed in the Official Personnel Folder.

k. Prepare and distribute required notices:

(1) If the person is being converted to a new appointment and will be serviced by a new payroll office, give the employee, before the effective date of the conversion, a completed Standard Form 8, Notice to Federal Employee About Unemployment Insurance. Show the full name and address of the office where the individual's payroll records are maintained.

(2) If the employee is coming from another agency, follow instructions in the Office of Personnel Management's operating manual, **The Guide to Personnel Recordkeeping**, to request the Official Personnel Folder.

l. Distribute Standard Form 50 copies as appropriate.

Table 13-A. Appointment and Conversion in the Senior Executive Service (SES)

<i>R U L E</i>	<i>A</i>	<i>B</i>	<i>C</i>	<i>D</i>	<i>E</i>	<i>F</i>	<i>G</i>	<i>H</i>
	<i>If Employee</i>	<i>And</i>	<i>And</i>	<i>Then Nature of Action Code is</i>	<i>Nature of Action is</i>	<i>Authority Code is</i>	<i>Authority is (See Note *** 2 of this table)</i>	<i>And Codes for Required Remarks Are (See Note 3 of this table)</i>
1	Elects conversion to SES when his or her position is converted to SES	Is currently under a career or career-conditional appointment or similar type of appointment in the excepted service		542	Conv to SES Career Appt	NRM	Reg. 317.304	E23, E24, P48, and T55
2	Requests conversion to an SES Career Appointment when his or her position is converted to the SES	Has reinstatement eligibility to a position in the competitive service or had substantial career-oriented service under a career-type appointment in the excepted service	Is currently serving under a Schedule C appointment, or in a position in the Executive Schedule excepted by law, or similar position			NTM ***	Reg. 317.305(b)(3) ***	
3	Elects conversion to SES when his or her position is converted to SES	Has reinstatement eligibility to a position in the competitive service	Is currently serving under a time-limited appointment in the excepted service which followed, without a break in service, a career-type appointment in a position which has been designated as in the SES			NXM ***	Reg. 317.306(b)(3) ***	

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Table 13-A. Appointment and Conversion in the Senior Executive Service (SES) (Continued)

<i>R U L E</i>	<i>A</i>	<i>B</i>	<i>C</i>	<i>D</i>	<i>E</i>	<i>F</i>	<i>G</i>	<i>H</i>
	<i>If Employee</i>	<i>And</i>	<i>And</i>	<i>Then Nature of Action Code is</i>	<i>Nature of Action is</i>	<i>Authority Code is</i>	<i>Authority is (See Note *** 2 of this table)</i>	<i>And Codes for Required Remarks Are (See Note 3 of this table)</i>
4	Elects conversion to SES when his or her position is converted to SES	Is currently serving under a Schedule C appointment, or in a position in the Executive Schedule excepted by law, or in a similar position	The employee's position is designated as SES general	546	Conv to SES Noncareer Appt	NSM >and AUM<	Reg. 317.305(b) >and OPM letter<	E23, P48, and T55
5			The position is designated as SES career reserved and the agency reassigns the employee to an SES general position					
6		Is currently serving under a time limited appointment in a position which will not terminate within three years	The employee's position is designated as SES general			NWM >and AUM<		
7			The position is designated as SES career reserved and the agency assigns the employee to an SES general position					

Table 13-A. Appointment and Conversion in the Senior Executive Service (SES) (Continued)

<i>R U L E</i>	<i>A</i>	<i>B</i>	<i>C</i>	<i>D</i>	<i>E</i>	<i>F</i>	<i>G</i>	<i>H</i>
	<i>If Employee</i>	<i>And</i>	<i>And</i>	<i>Then Nature of Action Code is</i>	<i>Nature of Action is</i>	<i>Authority Code is</i>	<i>Authority is (See Note *** 2 of this table)</i>	<i>And Codes for Required Remarks Are (See Note 3 of this table)</i>
8	Elects conversion to SES when his or her position is converted to SES	Is currently serving under a time-limited appointment in the excepted service in a position which will terminate within three years from the date of the proposed conversion action		548	Conv to SES Ltd Term Appt NTE (date)	NVM	Reg. 317.306 (b)(1)	E23, P48, and T55
9	Is selected competitively for SES Career Appointment	Qualifications Review Board at OPM has certified the executive's qualifications	The person is not on your agency's rolls	142	SES Career Appt	V2M	5 U.S.C. 3393	E23 and T55
10			The person is already on the rolls of your agency	542	Conv to SES Career Appt			
11	Is selected for SES Career Appointment based on reinstatement eligibility from a previous SES Career Appointment	Is reinstated after serving under Presidential appointment	Is not on your agency's rolls	143	Reins-SES Career	VCJ	5 U.S.C. 3593(b)	
12			Is already on the rolls of your agency	543	Conv to Reins-SES Career			
13		Action is not covered under Rules 11 and 12	Is not on your agency's rolls	143	Reins-SES Career	VBJ	5 U.S.C. 3593(a)	
14			Is already on the rolls of your agency	543	Conv to Reins-SES Career			

Table 13-A. Appointment and Conversion in the Senior Executive Service (SES) (Continued)

<i>R U L E</i>	<i>A</i>	<i>B</i>	<i>C</i>	<i>D</i>	<i>E</i>	<i>F</i>	<i>G</i>	<i>H</i>
	<i>If Employee</i>	<i>And</i>	<i>And</i>	<i>Then Nature of Action Code is</i>	<i>Nature of Action is</i>	<i>Authorit y Code is</i>	<i>Authority is (See Note *** 2 of this table)</i>	<i>And Codes for Required Remarks Are (See Note 3 of this table)</i>
15	Moves without a break in service from an SES Career Appointment in one agency to an SES Career Appointment in another agency			145	Transfer SES Career	V6M	5 U.S.C. 3395(a)(1)(B)	E23 and T55
16	Is selected for SES Noncareer Appointment	Moves without a break in service from an SES Noncareer Appointment in one agency to an SES Noncareer Appointment in another agency		147	Transfer SES Noncareer	VAG and AWM	5 U.S.C. 3395(d)(2) and OPM Form >1652< ***	
17		Action is not covered by Rule 16 above	The person is not on your agency's rolls	146	SES Non-career Appt	V4L and AWM	5 U.S.C. 3394(a) Noncareer and OPM Form >1652< ***	
18			The person is already on the rolls of your agency	546	Conv to SES Non-career Appt			

Table 13-A. Appointment and Conversion in the Senior Executive Service (SES) (Continued)

<i>R U L E</i>	<i>A</i>	<i>B</i>	<i>C</i>	<i>D</i>	<i>E</i>	<i>F</i>	<i>G</i>	<i>H</i>
	<i>If Employee</i>	<i>And</i>	<i>And</i>	<i>Then Nature of Action Code is</i>	<i>Nature of Action is</i>	<i>Authority Code is</i>	<i>Authority is (See Note *** 2 of this table)</i>	<i>And Codes for Required Remarks Are (See Note 3 of this table)</i>
19	Is selected for SES Limited Term Appointment of 3 years or less	Rules 21 and 22 do not apply	The person is not on your agency's rolls	148	SES Ltd Term Appt NTE (date)	V4M	5 U.S.C. 3394(a) Limited Term >(See Note 4 of this table)<	E23 and T55
20			The person is already on the rolls of your agency	548	Conv to SES LTD Term Appt NTE (date)			
21		Appointment is to a continuing position when the agency intends later to convert the employee to a nontemporary appointment	The person is not on your agency's rolls	190	Provisional Appt NTE (date)			E23, E58, and T55
22			The person is already on the rolls of your agency	590	Conv to Provisional Appt NTE (date)			
23	Is serving on an SES Limited Term Appointment NTE	Appointment is being extended		762	Ext of SES Limited Appt NTE (date)			E23 and T55
24	Is selected for SES Limited Emergency Appointment for 18 months or less to meet a <i>bona fide</i> emergency need	Rules 26 and 27 do not apply	The person is not on your agency's rolls	149	SES Ltd Emergency Appt NTE (date)	V4P >and AWM<	5 U.S.C. 3394(a) Limited Emergency >and OPM Form 1652<	

Table 13-A. Appointment and Conversion in the Senior Executive Service (SES) (Continued)

<i>R U L E</i>	<i>A</i>	<i>B</i>	<i>C</i>	<i>D</i>	<i>E</i>	<i>F</i>	<i>G</i>	<i>H</i>
	<i>If Employee</i>	<i>And</i>	<i>And</i>	<i>Then Nature of Action Code is</i>	<i>Nature of Action is</i>	<i>Authorit y Code is</i>	<i>Authority is (See Note *** 2 of this table)</i>	<i>And Codes for Required Remarks Are (See Note 3 of this table)</i>
25	Is selected for SES Limited Emergency Appointment for 18 months or less to meet a <i>bona fide</i> emergency need	Rules 26 and 27 do not apply	The person is already on the rolls of your agency	549	Conv to SES Ltd Emergency Appt NTE (date)	V4P >and AWM<	5 U.S.C. 3394(a) Limited Emergency >and OPM Form 1652<	E23 and T55
26		Appointment is to a continuing position when the agency intends	The person is not on your agency's rolls	190	Provisional Appt NTE (date)			E23, E58, and T55
27		later to convert the employee to a nontemporary appointment	The person is already on the rolls of your agency	590	Conv to Provisional Appt NTE (date)			
28	Is serving on an SES Limited Emergency Appointment NTE	Appointment is being extended		762	Ext of SES Limited Appt NTE (date)			E23 and T55

NOTES

1. ***
2. *ZLM: Other Citation (Laws, E.O., or Reg)* may be cited in addition to any other authority or authorities required by this Table. Cite *ZLM* immediately after the authority or authorities required by this Table.
3. Use Table 13-C to select other remarks which may be required. Then use Table 13-D to translate codes into actual remarks. Remark E23 is used only when employee is a preference eligible.
- >4. Agencies are delegated the authority to use up to 3% of their SES allocations for limited term SES appointments NTE 36 months for career employees. All other requests for limited SES are requested using OPM Form 1652, and agencies must cite the following as the second authority on the SF-52: AWM - OPM Form 1652.<

Table 13-B. Appointment Based on Reemployment Rights

<i>R U L E</i>	<i>A</i>	<i>B</i>	<i>D</i>	<i>E</i>	<i>F</i>	<i>G</i>	<i>H</i>
	<i>If the basis for the action is</i>	<i>And Employee</i>	<i>Then Nature of Action Code is</i>	<i>Nature of Action is</i>	<i>Legal Authority Code is</i>	<i>Legal Authority is</i>	<i>Required Remarks Are (See Note for this table)</i>
1	Senior Executive Service (SES) Career Appointment after service with an international organization	Is not on your agency's rolls	142	SES Career Appt	P3M	Reg. 352.311	E23 and T55
2	SES Career Appointment after service under sections 233(d) and 625(b) of the Foreign Assistance Act of 1961				P5M	Reg. 352.507	
3	SES Career Appointment after service with the American Institute in Taiwan				P7M	Reg. 352.803	
4	SES Career Appointment by reemployment under 5 CFR 352.405, 352.705, or 352.907				P2M	5 CFR part 352	

Note: Use Table 13-D to translate codes into actual remarks. Remark E23 used only when employee is a preference eligible.

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Table 13-C. Remarks Required in Special Situations >(Use Table 13-D to translate codes into actual remarks) (See Note 1)<

<i>R U L E</i>	<i>A</i>	<i>B</i>	<i>C</i>	<i>D</i>
	<i>If</i>	<i>And</i>	<i>And the Employee</i>	<i>Then Codes for Remarks are (See Note for this table)</i>
1	Employee was required to complete appointment affidavit, Standard Form 61			M01
2	Action is a Senior Executive Service (SES) Career Appointment (includes conversion, reinstatement, or transfer)	The employee has not satisfactorily completed the probationary period under a previous SES appointment	Was appointed without a break in service from a civil service position held under a career or career-conditional appointment or one of equivalent tenure	E25 and E51
3			Was not appointed without a break in service from a civil service position held under a career or career-conditional appointment or one of equivalent tenure	E25
4	Action is an SES Noncareer Appointment	Appointment has been designated as indefinite		E01
5	Employee is a Senior Executive Service (SES) Career appointee who voluntarily requests a change to an SES Noncareer or Limited appointment			M20
6	Action is an appointment or a conversion to appointment			M39 and M40
7	***			
8	Action is an appointment or a conversion to appointment under which employee's retirement code will be "C," "E," "K," "L," "M," or "N"			M38

Table 13-C. Remarks Required in Special Situations >(Use Table 13-D to translate codes into actual remarks) (See Note 1) (Continued)<

<i>R U L E</i>	<i>A</i>	<i>B</i>	<i>C</i>	<i>D</i>
	<i>If</i>	<i>And</i>	<i>And the Employee</i>	<i>Then Codes for Remarks are (See Note for this table)</i>
9	Employee's total salary includes a retention allowance			P70
10	Action is an appointment or a conversion to appointment under which employee's retirement code will be "K," "L," "M," or "N"	Employee previously elected coverage under the Federal Employees Retirement System (FERS)		M46
11		Rule 10 does not apply		M45
12	Employee is eligible to elect Federal Employees Retirement System (FERS) as provided in Chapter 11 of The CSRS and FERS Handbook for Personnel and Payroll Offices	Employee has been given Standard Form 3109, FERS Election of Coverage, and receipt copy has been filed in his or her Official Personnel Folder		B60
13	Employee has elected to retain coverage under a retirement system for employees of a Nonappropriated Fund Instrumentality.			B63
14	Office that provides personnel service (including Official Personnel Folder maintenance) is not at the same location or is not part of the same organization as the one to which the employee is assigned (e.g., employee is located in Europe and Official Personnel Folder is maintained in Washington, DC, or employee works for agency A and receives personnel service from agency B)			M10
>15	Will be reemployed annuitant			A17<

Table 13-C. Remarks Required in Special Situations >(Use Table 13-D to translate codes into actual remarks) (See Note 1) (Continued)<

<i>R U L E</i>	<i>A</i>	<i>B</i>	<i>C</i>	<i>D</i>
	<i>If</i>	<i>And</i>	<i>And the Employee</i>	<i>Then Codes for Remarks are (See Note for this table)</i>
>16	Will be reemployed annuitant	Salary will be reduced by the amount of the annuity because neither the Office of Personnel Management nor the agency has approved a waiver under 5 CFR, part 533		P08
17				P10 (see Note 3)
18				P90 (see Note 2)

NOTES:

1. In addition to other required remarks, use Remark E23 if employee is a preference eligible.
2. When the employee submits the notice of annuity adjustment, follow your agency's procedures to forward it to the payroll office.
3. To determine the annual (pa) rate, multiply by 12 the *gross monthly annuity* shown on the notice of annuity adjustment from the Office of Personnel

Management.<

Table 13-D. Codes and Remarks for Senior Executive Service (SES) Actions

<i>R U L E</i>	<i>A</i>	<i>B</i>
	<i>If Code is</i>	<i>Then Remark is</i>
>1	A17	As a reemployed annuitant, you serve at the will of the appointing officer.
2	B60	Eligible to elect coverage under the Federal Employees Retirement System (FERS) within 6 months of the effective date of this personnel action. SF 3109 provided to employee.
3	B63	Elected to retain coverage under a retirement system for NAF employees.
4	E01	Appointment is indefinite.
5	E23	Veterans' preference is not applicable to the Senior Executive Service.
6	E24	Probationary period for SES position is not required.
7	E25	Subject to satisfactory completion of 1-year SES probationary period beginning (date).
8	E51	Employee has guaranteed placement rights during probation
9	E58	Appointment is on a provisional basis. You are eligible for retirement coverage and for health benefits and life insurance. If your performance is satisfactory, and you meet all legal qualifications, and other applicable requirements, you may be converted to a nontemporary appointment before this appointment expires.
10	M01	Appointment affidavit executed (date).
11	M10	OPF maintained by (name and address of office).
12	M20	Action at employee's request.
13	M38	Frozen Service: (enter yrs and mos, e.g., "20 yrs, 5 mos").

Table 13-D. Codes and Remarks for Senior Executive Service (SES) Actions

<i>R U L E</i>	<i>A</i>	<i>B</i>
	<i>If Code is</i>	<i>Then Remark is</i>
14	M39	Creditable Military Service: (enter yrs and mos, e.g., “6 yrs, 7 mos”) [This remark is not required for reemployed Civil Service annuitants. For other employees, when there is no prior military service, enter “none;” otherwise, follow the instructions in Chapter 6 to calculate years and months of service.]
15	M40	Previous Retirement coverage: (enter “never covered” or “previously covered”) [“Previously covered” indicates that employee was previously covered by the CSRS or the FERS.]
16	M45	Employee is automatically covered under FERS.
17	M46	Employee is covered by FERS because of previous election.
18	P08	Annual salary to be reduced by the amount of your retirement annuity and by further cost of living increases.
19	P10	Annuity at present is \$ pa. (See Note 2 of this table)
20	P48	Salary may not be reduced below salary earned immediately prior to SES conversion with any future involuntary action while continuously employed.
21	P70	Salary in block 20 includes retention allowance of \$_____.
22	P90	You are required to submit to the personnel office a copy of any subsequent notice from OPM of any change in your gross annuity rate. (see Note 3 of this table)
23	T55	Tenure as used for 5 U.S.C. 3502 is not applicable to the Senior Executive Service.

NOTES:

1. Remark E23 is used only when employee is a preference eligible.
2. To determine the annual (pa) rate, multiply by 12 the gross monthly annuity shown on the notice of annuity adjustment from the Office of Personnel Management.
3. When the employee submits the notice of annuity adjustment, follow your agency’s procedures to forward it to the payroll office.

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