



Department of Defense **INSTRUCTION**

NUMBER 1444.02, Volume 3
November 5, 2013

USD(P&R)

SUBJECT: Data Submission Requirements for DoD Civilian Personnel: Foreign National (FN) Civilians

References: See Enclosure 1

1. PURPOSE

a. Instruction. This instruction is composed of several volumes, each containing its own purpose. In accordance with the authority in DoD Directive (DoDD) 5124.02 (Reference (a)), the purpose of the overall instruction is to establish and implement policy, assign responsibilities, prescribe procedures, and establish requirements for submitting DoD civilian personnel records to the Defense Manpower Data Center (DMDC), a component of the Defense Human Resources Activity.

b. Volume. This volume:

(1) Incorporates and cancels Assistant Secretary of Defense for Force Management and Personnel Memorandum (Reference (b)).

(2) Updates established policy, procedures, and requirements for reporting appropriated fund direct and indirect hire non-U.S. citizen foreign nationals working in duty locations outside the United States.

2. APPLICABILITY. This volume:

a. Applies to OSD, the Military Departments, the Office of the Chairman of the Joint Chiefs of Staff and the Joint Staff, the Combatant Commands, the Office of the Inspector General of the Department of Defense, the Defense Agencies except as noted in paragraph 2b, the DoD Field Activities, and all other organizational entities within the DoD (referred to collectively in this volume as “the DoD Components”).

b. Does not apply to intelligence and counterintelligence agencies, including the National Reconnaissance Office, the National Security Agency, the National Geospatial-Intelligence Agency, and the Defense Intelligence Agency.

3. POLICY. It is DoD policy that:

a. A comprehensive centralized repository of current and historical DoD civilian personnel data will be used for research, actuarial, and ad hoc analysis.

(1) In accordance with DoD Instruction (DoDI) 3001.02, DoDI 6490.03, and DoDD 1404.10 (References (c) through (e)), extracts from the repository may be used to provide specialized reporting on the civilian workforce.

(2) In accordance with DoDD 1000.25, Homeland Security Presidential Directive 12, and Directive-type Memorandum 08-003 (References (f) through (h)), extracts from the repository may be used in the Defense Enrollment Eligibility Reporting System (DEERS) to create and modify elements relevant to identity management and issuance of a common access card.

b. Personally identifiable information (PII) in the repository will be safeguarded following the requirements and procedures prescribed by DoD 5400.11-R (Reference (i)) and DoDD 5015.2 (Reference (j)). Individuals having access to PII may be held personally responsible and subject to criminal penalties, administrative disciplinary action, or both for making unauthorized disclosures.

c. Civilian personnel records will be submitted using social security numbers (SSN) if available.

(1) Civilian personnel records for those who do not have SSNs must have a reliably generated and consistently used pseudo identifier. This identifier is to be centrally managed and not reused or simultaneously used across or within submitting regional databases.

(2) Civilian personnel records for those who are concurrently employed in more than one position must be submitted under the same identifier across every position. Person identifier data will support the capability to correct and update a person's identity information.

d. Computer matching programs will be used as prescribed by Reference (i). Computer matching is conducted with other federal and non-federal agencies to:

(1) Verify eligibility for benefit programs and determine continued compliance with benefit program requirements.

(2) Recover improper payments made to or delinquent debts owed by federal personnel, including current and former employees.

e. Personnel records for indirect hire FN civilians are limited to those to whom DoD has access.

4. RESPONSIBILITIES

a. USD(P&R). The USD(P&R) provides overall policy guidance for reporting of FN civilian personnel within the DoD.

b. Director, Department of Defense Human Resources Activity (DoDHRA). Under the authority, direction, and control of the USD(P&R) as identified in DoDD 5100.87 (Reference (k)), the Director, DoDHRA:

(1) Ensures proper custody of automated extracts of civilian personnel records and provides data quality control analysis and reporting, inquiry capabilities, and administrative and computer support.

(2) Ensures civilian submissions are accomplished through secure electronic data transfer.

(3) Ensures establishment of account numbers and passwords for all electronic submission reports and provides additional system specifications.

(4) Ensures provision of record-level data, programming, reports, and analytical support, as requested, to the USD(P&R) for special studies requiring use of civilian personnel.

(5) Reviews the DMDC submission requirements and instructions provided in Enclosure 2 of this volume at least annually and develops changes, as required.

c. DoD Components Heads. The DoD Components heads ensure that their respective Components implement this instruction.

5. PROCEDURES. See Enclosure 2.

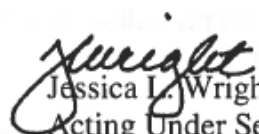
6. RELEASABILITY. **Unlimited**. This volume is approved for public release and is available on the Internet from the DoD Issuances Website at <http://www.dtic.mil/whs/directives>.

7. EFFECTIVE DATE

a. Full compliance with the submission requirements established by this volume is effective on September 30, 2014. All other provisions of this volume are effective November 5, 2013.

b. Must be reissued, cancelled, or certified current within 5 years of its publication to be considered current in accordance with DoDI 5025.01 (Reference (l)).

c. Will expire effective November 5, 2023 and be removed from the DoD Issuances Website if it hasn't been reissued or cancelled in accordance with Reference (l).


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Enclosures

1. References
2. Procedures
3. Civilian FN Status Coding Instructions

Glossary

ENCLOSURE 1

REFERENCES

- (a) DoD Directive 5124.02, "Under Secretary of Defense for Personnel and Readiness (USD(P&R))," June 23, 2008
- (b) Assistant Secretary of Defense (Force Management and Personnel) Memorandum, "Reporting of Foreign National Employment Data Under DoDI 1444.2," April 27, 1990 (hereby cancelled)
- (c) DoD Instruction 3001.02, "Personnel Accountability in Conjunction with Natural or Manmade Disasters," May 3, 2010
- (d) DoD Instruction 6490.03, "Deployment Health," August 11, 2006
- (e) DoD Directive 1404.10, "DoD Civilian Expeditionary Workforce," January 23, 2009
- (f) DoD Directive 1000.25, "DoD Personnel Identity Protection (PIP) Program," July 19, 2004
- (g) Homeland Security Presidential Directive 12, "Policy for a Common Identification Standard for Federal Employees and Contractors," August 27, 2004
- (h) Directive-type Memorandum 08-003, "Next Generation Common Access Card (CAC) Implementation Guidance" December 1, 2008¹, as amended
- (i) DoD 5400.11-R, "Department of Defense Privacy Program," May 14, 2007
- (j) DoD Directive 5015.2, "DoD Records Management Program," March 6, 2000
- (k) DoD Directive 5100.87, "Department of Defense Human Resources Activity (DoDHRA)," February 19, 2008
- (l) DoD Instruction 5025.01, "DoD Directives Program," September 26, 2012, as amended
- (m) Office of Personnel Management, "The Guide to Data Standards, Part A: Human Resources" current version²
- (n) DoD Instruction 1400.25, Volume 1231, "DoD Civilian Personnel Management System: Employment of Foreign Nationals," July 5, 2011

¹ Available at <http://www.dtic.mil/whs/directives/corres/dir3.html>

² Available at <http://www.opm.gov/feddata/guidance.asp>

ENCLOSURE 2PROCEDURES1. GENERAL GUIDANCE

a. This instruction establishes requirements and provides guidance to collect and report personnel data.

b. Each submission file will include a 25 byte header record. Table 1 provides the header record.

Table 1. Header Record

RECORD FIELD AND DATA ITEM	CODING AND REMARKS	RECORD POSITION	LENGTH CLASS
PERSON DATA			
1. File As Of Date	The "as of" date of the data submitted in the file	1	8 C
2. File Kind	The kind of file submitted. P Personnel W Workforce	9	1 C
3. File Type	File Type: S Status D Dynamic	10	1 C
4. Frequency	The frequency of the submission. M Monthly D Daily	11	1 C
5. Civilian Population	The civilian population type. FN Foreign National	12	2 C
6. Submission Order Number	Submission order number if multiple submission segments are required. If only 1 submission is required, then report 1.	14	1 N
7. Region	Submitting Region, left justified	15	4 C
8. Record Count	The number of records contained in the submission.	19	7 C

c. Submissions will follow the data field sequence in accordance with the coding instructions specified in Table 2 of Enclosure 3 of this volume.

d. Data elements will adhere to data standards established by the Office of Personnel Management (OPM) (Reference (m)) when specified. Non-standard data elements and codes are documented in Table 2 of Enclosure 3 of this volume. When source systems contain codes differing from the standards prescribed in this volume, converting to standards is the responsibility of the submitter.

e. The first submission to comply with this volume will be for the first full month following the effective date of implementation of this volume.

2. DMDC SUBMISSION INSTRUCTIONS

a. Data Media. Data will be submitted to the DMDC via secure electronic data transfer in compliance with the data submission requirements of this instruction.

b. Monthly Status (Master) File Submission Requirements. Five working days after the end of each month, the Defense Civilian Personnel Advisory Service (DCPAS), or designated submitting site, will submit a status file for the FN civilian population. The status file must reflect the status of the civilians as of the last day of the month. It must cover all current employees. Enclosure 3 of this volume contains the layout to be used.

c. Data Specifications

- (1) Order each file in ascending order by SSN or DoD ID.
- (2) Submit hourly dollar amounts with implied decimal.
- (3) Right justify all other dollar amounts with leading zeroes and without decimals.
- (4) Right justify numeric data that are not dollar amounts with leading zeroes.
- (5) Left justify alpha character data with trailing blanks.
- (6) Format all dates as “YYYYMMDD” unless otherwise instructed in the data element description.

d. Secure Electronic Data Transfer. The DCPAS will contact the DMDC Civilian Personnel File Manager to establish an account number and password exclusively for these reports and provide additional system specifications. These specifications include file naming conventions and security protocols appropriate to protect the data from compromise. DMDC supports secure File Transfer Protocol software. The file submitter is responsible for the accuracy and completeness of each electronic data transfer.

ENCLOSURE 3CIVILIAN FN STATUS CODING INSTRUCTIONSTable 2. FN Coding Instructions

RECORD FIELD AND DATA ITEM	CODING AND REMARKS	RECORD POSITION	LENGTH CLASS
PERSON DATA			
1. Pseudo SSN1	The identifier used to uniquely identify an employee when they do not have a SSN.	1	9 C
2. Pseudo SSN2		10	9 C
3. Pseudo SSN3		19	9 C
4. Pseudo SSN being Corrected		28	9 C
5. Oracle Employee ID	The 12 digit number assigned to an employee in Defense Civilian Personnel Data System. This is unique only within each region.	37	12 C
6. Last Name (Family)	Non-chosen/inherited/married name by which a person is known or designated on all official transactions. This will include suffixes such as Jr., II, Sr. III, etc.	49	35 C
7. First Name (Given)	Given/chosen/often first name by which a person is known or designated on all official transactions. Adhere to Reference (m).	84	35 C
8. Middle Name	Middle name or initial by which a person is known or designated on all official transactions. Adhere to Reference (m).	119	35 C
9. Date of Birth	An employee's date of birth. Adhere to Reference (m).	154	8 C
10. Sex	An employee's sex. Adhere to Reference (m).	162	1 C
11. Citizenship Country Code	Employee's country of citizenship. Adhere to Reference (m).	163	2 C
12. Education Level	The extent of an employee's education attainment from an accredited institution. Adhere to Reference (m).	165	2 N
13. Year Degree or Certificate Attained	The calendar year during which the employee received the degree or certificate shown for "Educational Level." Adhere to Reference (m).	167	4 C
14. Instructional Program	An employee's major field of study. Adhere to Reference (m).	171	6 N
15. Pay Plan	A particular table or array of pay rates prescribed by law or other authoritative source that establishes the basic pay rates for certain employees. Adhere to Reference (m).	177	2 C
16. Grade, Level, Class, Rank, or Pay Band	An indicator of hierarchical relationships among positions covered by the same pay plan or system. Adhere to Reference (m).	179	2 C
17. Step or Rate	An indicator or a specific salary within a grade, level, class, rate, or pay band. Adhere to Reference (m).	181	2 N
18. Date of Last Promotion	Date the employee received the last permanent promotion. Leave blank only if the employee has never been promoted since the most recent accession in to civil service.	183	8 C

Table 2. FN Coding Instructions, Continued

RECORD FIELD AND DATA ITEM	CODING AND REMARKS	RECORD POSITION	LENGTH CLASS
	PERSON DATA		
19. Employee Pay Status	Indicates if the employee is or is not being paid. There are two categories of employees not being paid: Those who are “temporarily” not working (e.g., on leave without pay, furlough, or suspension) and those who are working, but are not paid for their services (e.g., whose pay basis code indicates “without pay”). N = Placed in nonpay status P = Placed in pay status in the federal civilian workforce	191	1 C
20. Agency/Subelement	The agency and, where applicable, the administrative subdivision (i.e., sub-element) in which a person is employed. The first and second positions of the code indicate the agency. The third and fourth positions indicate the administrative subdivision. If no sub-elements are assigned to an agency, the third and fourth positions are zeros (xx00).	192	4 C
21. Unit Identification Code (UIC)	The lowest unit to which the employee is assigned. Service codes are translated in the UIC address file. Defense Agency UIC's are not translated in that file.	196	6 C
22. Personnel Office Identifier	The identification of the federal civilian personnel office authorized to appoint and separate an employee, and to the extent such functions have been delegated, prepare personnel actions, maintain official personnel records, and administer programs for staff compensation, training and development, benefits and awards, and employee and labor relations. Adhere to Reference (m).	202	4 N
23. Personnel Servicing Center Code	The on-site personnel office that handles the face-to-face customer activities for civilian personnel operations. See Volume 1 of this instruction for coding.	206	2 C
24. Date Arrived at Personnel Servicing Center	The date the employee’s official personnel folder began to be serviced by the personnel office.	208	8 C
25-26. Duty Station (to include Duty Station State/Country, and City)	The location of an employee’s official worksite. Combined length of nine bytes. Adhere to Reference (m).		
25. Duty Station State/Country	Indicates the state (if the code is numeric) or the U.S. possession, U.S. administered area, or foreign country (if the code is alphabetic).	216	2 C
26. Duty Station City	Indicates the city.	218	4 N
27. Duty Station City Name	The name of the city where an employee works.	222	20 C
28. Duty Station Zone Improvement Plan (ZIP) Code	Report the ZIP code and extension for the employee’s duty location. If only the five position ZIP code is available, report it in the first five positions followed by four zeroes.	242	9 C
29. Occupation Code	An employee's occupational series. Adhere to Reference (m).	251	4 N
30. Position Description Number	A value used to describe or designate specific position(s) for administrative human resource purposes. When used in conjunction with the “Sequence Number” it ensures a unique position is established within a database.	255	15 C

Table 2. FN Coding Instructions, Continued

RECORD FIELD AND DATA ITEM	CODING AND REMARKS	RECORD POSITION	LENGTH CLASS
	PERSON DATA		
31. Sequence Number	A system generated number that is unique to a particular position. When used in conjunction with the "Position Description Number" it ensures a unique position is established within a database.	270	15 C
32. Position Title Description	Official classification title description of the position of the employee.	285	50 C
33. Service Computation Date (Leave)	An employee's service computation date for leave accrual purposes. This will include military service time. Adhere to Reference (m).	335	8 C
34. Basic Pay	The employee's rate of basic pay. Exclude locality pay, supplements, adjustments, allowances, differentials, incentives, or other similar additional payments. Adhere to Reference (m).	343	6 N
35. Term or Temporary Appointment Not To Exceed (NTE) Date	The date a temporary or term appointment is projected to end.	349	8 C
36. Type of Appointment	The type of appointment under which an employee is serving. 10 = Career (competitive service permanent) 15 = Career-conditional (competitive service permanent) 1A = Competitive – career 1B = Career executive assignment – career 1C = Excepted – career 1D = Canal Zone career 1L = Non-career executive assignment 20 = Nonpermanent (competitive service nonpermanent) 2A = Competitive – career conditional 2B = Career executive assignment – conditional 2C = Excepted – conditional 2D = Canal Zone – conditional 2F = Veterans readjustment appointment 30 = Schedule A (excepted service permanent) 32 = Schedule B (excepted service permanent) 34 = Schedule C (excepted service permanent) 36 = Executive (excepted service permanent) 38 = Other (excepted service permanent) 3A = Temporary Appointment NTE 3C = Excepted appointment – NTE 3D = Canal Zone temporary appointment – NTE 3E = Canal Zone term appointment – NTE 3F = Term appointment – NTE 3H = Overseas limited appointment – NTE 3J = Overseas temporary appointment – NTE 40 = Schedule A (excepted service nonpermanent) 42 = Schedule B (excepted service nonpermanent) 44 = Schedule C (excepted service nonpermanent) 46 = Executive (excepted service nonpermanent) 48 = Other (excepted service nonpermanent) 4A = Temporary appointment pending establishment of register (TAPER)	357	2 C

Table 2. FN Coding Instructions, Continued

RECORD FIELD AND DATA ITEM	CODING AND REMARKS	RECORD POSITION	LENGTH CLASS
	PERSON DATA		
	4B = Limited executive assignment 4C = Excepted indefinite 4D = Canal Zone TAPER 4E = Canal Zone retention in status quo 4F = Special tenure 4G = Indefinite appointment 4H = Overseas limited appointment 4J = Emergency-indefinite 4K = Retention in status quo 4L = Non-career executive assignment – TAPER/indefinite 4M = Provisional appointment not to exceed. 50 = Career (senior executive service permanent) 55 = Noncareer (senior executive service permanent) 5A = SES – career 5B = SES – noncareer – permanent 5C = SES -- limited term appointment NTE 5D = SES – limited emergency appointment 5E = SES – noncareer – indefinite 5F = SES – provisional appointment NTE 60 = Limited term (senior executive service nonpermanent) 65 = Limited emergency (senior executive service nonpermanent)		
37. Computer Position Indicator	The indicator of whether an employee has access to and can modify or alter information residing in a database or program. Adhere to Reference (m). The default code is Z.	359	1 C
38. Foreign National Hire Type Indicator	The employee's hire type. 0 = Invalid 1 = Indirect Hire 2 = Direct Hire 3 = Other	360	1 C
39. Work Schedule	The time basis on which an employee is scheduled to work. Adhere to Reference (m).	361	1 C
40. Tenure	For purposes of reduction in force, the retention group in which an employee is placed based on the employee's type of appointment. Adhere to Reference (m).	362	1 N
41. Time In Hours	The number of scheduled work hours 00 through 72 per week. Report 00 for workers with no prearranged scheduled tour of duty. For example, employees with work schedule code of intermittent I or intermittent seasonal J. All employees with non I or J work schedules should have time in hours reported 01 through 72.	363	2 N
42. Pay Basis	The principal condition in terms of time, production, or other criteria that, along with salary rate, determines the compensation paid to an employee. Adhere to Reference (m).	365	2 C
43. Occupational Category	The category to which an occupational series belongs. Adhere to Reference (m).	367	1 C
44. Supervisory Status	The nature of managerial, supervisory, or non-supervisory responsibility assigned to an employee's position. Adhere to Reference (m).	368	1 N

Table 2. FN Coding Instructions, Continued

RECORD FIELD AND DATA ITEM	CODING AND REMARKS	RECORD POSITION	LENGTH CLASS
	PERSON DATA		
45. Nature of Action Code (1)	Report the last nature of action to have taken place in the reporting month. Adhere to Reference (m).	369	3 C
46. Effective Date of Personnel Action	The effective date of a personnel transaction.	372	8 C
47. Filler	Report blanks in this field	380	21

GLOSSARY

PART I. ABBREVIATIONS AND ACRONYMS

DCPAS	Defense Civilian Personnel Advisory Service
DMDC	Defense Manpower Data Center
DoDD	Department of Defense Directive
DoDHRA	Department of Defense Human Resources Activity
DASD(CPP)	Deputy Assistant Under Secretary of Defense for Civilian Personnel Policy
FN	foreign national
NTE	not to exceed
OPM	Office of Personnel Management
PII	personally identifiable information
SSN	social security number
TAPER	Temporary appointment pending establishment of register
UIC	Unit Identification Code
USD(P&R)	Under Secretary of Defense for Personnel and Readiness
ZIP	Zone Improvement Plan

PART II. DEFINITIONS

These terms and their definitions are for the purposes of this volume.

appropriated fund. Funds to pay employees are provided by congressional appropriations act legislation.

direct hire. Employees hired and paid directly out of DoD appropriations. The Military Services are the legal employer and assume responsibility for all administrative functions.

indirect hire. The Military Services are not the legal employer. Employees are hired by the host country's government and are assigned to work with the Military Services on a reimbursable cost or other financial basis.

FN. An individual who is employed by or performing work for the Military Services outside the United States, its territories, and possessions in a system of employment established in accordance with Volume 1231 of DoDI 1400.25 (Reference (n)).

pseudo SSN. OPM intended pseudo SSNs for noncitizens who do not have a valid SSN and who are working primarily outside the United States.

submitting site. The site DCPAS designates to have functional responsibility for inputting data on civilian employees into the personnel system.