PAM MEMORANDUM

TO: PAM HOLDERS

DATE: MAY 2010 **ISSUE NO. 347-10**

Attached is a revision to the Personnel Action Manual (PAM). Important changes include the following:

~ 2.63.1 c, h, n, bb, nn: Item 505 CalPERS Retirement Account Codes and Descriptions, updated.
~ 2.90: Item 715 – Service Pay Period, updated a requirement.
~ 5.104: IRS LOCK-IN Letters and Ear Processing, updated.
~ 5.105: IRS LOCK-IN Letters and Ear Processing, updated.
~ 10.19.4: Decentralized Procedures, added Error: EAR -04
~ 10.19.5: Decentralized Procedures, added Error: EAR -07

REVISION INSTRUCTIONS:

Remove	Insert
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PAM Page Revision Dates	PAM Page Revision Dates
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2.60	2.60
2.63.1b – 2.63.1c	2.63.1b – 2.63.1c
2.63.1h – 2.63.1i	2.63.1h – 2.631i
2.63.1n – 2.63.1o	2.63.1n – 2.63.1o
2.63.1bb – 2.63.1cc	2.63.1bb – 2.63.1cc
2.63.1nn – 2.63.1oo	2.63.1nn – 2.63.1oo
2.90	2.90
5.0	5.0
5.104 – 5.105	5.104 – 5.105
10.19.3 -10.19.4	10.19.3 – 10.19.5

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2.53.1 (Revised 05/10)

ITEM 415 - NUMBER OF MONTHS (CONT.)

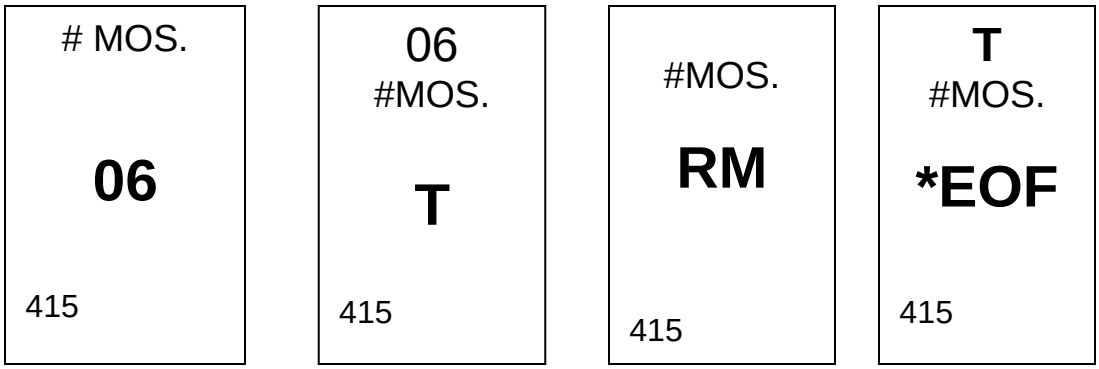
ADDITIONAL INFORMATION: Per SPB – Effective June 16, 2007 – 12 Month Maximum on Limited Term (LT) Certification Lists. Departments are delegated the responsibility to make 12 month LT appointments and extend them to 24 months when the statutory requirements have been met. These extensions do not require an additional appointment or recertification. Department should correct the original appointment to extend the LT appointment.

Codes NM and RM do not apply to A04 Transactions.

Report on A02 Transaction to extend an expiration date for an employee on Actual Time Worked.

Delete the Item 415 code on an A13 (Reorganization), A20 (Reallocation) or A21 (Split-off) transaction for an employee on a Training Assignment under G.C. Section 19050.8 (A04 transaction). If returning the employee to the training assignment after A13, A20 or A21 transaction, re-enter the Item 415 code on the A04 transaction.

EXAMPLE:



ITEM 416 - APPOINTMENT EXPIRATION

DESCRIPTION: Denotes the expiration date of an appointment.

REQUIRED:
1. For Appointment having an expiration date.
2. For Emergency Appointment.
3. For Immediate Pay Appointment.
4. For 405 Transaction when expiration date is changing.
5. When shaded area information no longer applies and the item is allowable.

ENTER: In "**DATE**" Box:

(mm/dd/yy) of:

- Expiration of Appointment; or
- Expiration date of Emergency Appointment; or
- Last day on pay status for Immediate Pay Appointment

Example: 09-month TAU Appointment:
[Appointment Date – 02/08/99]
[Expiration Date – 11/07/99]
*EOF – delete date

"HOURS" must be completed when the expiration date is part of a day. This is only required when the original appointment effective date is part of a day AND the appointment is for the maximum length allowable. In addition, "Hours" must be deleted when no longer valid.

In **"HOURS"** box:

When required, enter the hour derived by deducting number of hours in Item 210 from the number of hours in employee's shift.

Example: 9 months TAU Appointment – 8-hour shift

Appointment effective date 02/09/99 – 3 hours (Item 210)
Expiration effective 11/08/99 – 5 hours (Item 416)

0EOF - delete hours

(continued on next page)

2.60 (Revised 05/10)

ITEM 450 - PRIOR STATE SERVICE

DESCRIPTION: Indicates employee's prior State employment status as defined in DPA Regulation 599.826.

REQUIRED: For A01, A02, A03, A09, A22, or A30 - A35 Transactions when employee is new or returning to State service or is being hired in an additional position.

ENTER: The appropriate code:

1 - New to State service (No prior exempt or civil service employment).

2 - Returning after temporary separation and history IS on data base.

3 - Returning after permanent separation (had prior State employment as exempt, civil service, CSU, or non-rostered emergency) and history IS on data base.

*4 - Additional position appointment new to the data base. (Code 4 will not turnaround in Item 450, but will be reflected as an "X" in Item 135 - Other Position.)

*3/1-Anytime a correction is made to an appointment with a prior state service code in the shaded area – information must be re-entered on the corrections.

*1/2-Returning after temporary separation and history is NOT on data base; or blanketed into State service.

*1/3-Returning after permanent separation (had prior State employment as exempt, civil service, or non-rostered emergency) and history is NOT on data base.

*4/1-Employee has no prior civil service or exempt employment, but is on data base in CSU position.

3/* - To delete when invalid/unnecessary.

ADDITIONAL INFORMATION: If prior State service was as an exempt only, or non-posted emergency, refer to Section 2, Line 10 - Completion Charts.

* Refer to Section 10, page 10.11 for Special Keying instructions.

EXAMPLE:

PRIOR STATE SERVICE	PRIOR STATE SERVICE	PRIOR STATE SERVICE
3	**4/1**	**3/1**
450	450	450

ITEM 505
CALPERS RETIREMENT ACCOUNT CODES AND DESCRIPTIONS

MISCELLANEOUS FIRST-TIER

Description	Type of Member	O = SS/Med M = Medicare N = Neither	Account Codes and Effective Dates
(Cont.)	Misc. First-Tier	N	**05** (cont.) Effective 10/01/03 to 09/30/04 for C01-C21, E, E01, E04, E05, E08, E09, E10, E11, E14, E15, E16, E17, E18, E19, E20, E21, E48, E50, E58, E59, E67, E68, E77, E78, E79, E88, E89, E92, E97, E98, E99, M01-M21, R01, R04, R05, R08, R09, R10, R11, R14, R15, R16, R17, R19, R20, R21 and S01-S21 **4C** Effective 09/01/04 to current for E18 and R18 employed by Dept of Developmental Services, Porterville Developmental Center **4K** Effective 07/01/06 for R02
Member with SS/Med, continuously employed since prior to 01/01/85, who never elected Second Tier coverage OR Second-Tier member elected First-Tier, coverage on or after 01/01/85 OR Member hired on or after 01/01/00 OR Member has Industrial Disability Rights per Government Code 20047.5	Misc. First-Tier	O	**08** Effective 07/01/74 to 12/31/99 **45** Effective 01/01/00 to 08/30/01 for all CBID's Effective 08/31/01 to 03/31/02 for E01, E02, E03, E04, E09, E11, E15, E21, R01, R02, R03, R04, R09, R11, R15 and R21 Effective 08/31/01 to 04/30/02 for E14, E17, E20, R14, R17 and R20 Effective 10/01/01 to 06/30/02 for E13 and R13 Effective 07/01/03 for all CBID's Effective 10/01/03 to 09/30/04 for E02, E03, E07, E12, E13, E18, R02, R03, R07, R12, R13 and R18 Effective 10/01/04 for C01-C21, E, E01, E04, E05, E08, E09, E10, E11, E14, E15, E16, E19, E20, E21, E48, E50, E58, E59, E67, E68, E77, E78, E79, E88, E89, E92, E97, E98, E99, M01-M21, R01, R04, R05, R08, R09, R10, R11, R14, R15, R16, R19, R20, R21 and S01-S21 **24** Effective 08/31/01 to 06/30/03 for C01-C21, E, E05, E06, E07, E08, E10, E12, E16, E18, E19, E48, E50, E58, E59, E68, E78, E79, E88, E89, E92, E97, E98, E99, M01-M21, R06, R05, R07, R08, R10, R12, R16, R18, R19 and S01-S21

ITEM 505
CALPERS RETIREMENT ACCOUNT CODES AND DESCRIPTIONS

MISCELLANEOUS FIRST-TIER

Description	Type of Member	O = SS/Med M = Medicare N = Neither	Account Codes and Effective Dates
(Cont.)	Misc. First-Tier	O	**24** (Cont.) Effective 08/31/01 to 09/30/01 for E13 and R13 Effective 05/01/02 to 06/30/03 for E17 and R17 Effective 07/01/02 to 06/30/03 for E13 and R13 Effective 10/01/03 to 09/30/04 for C01-C21, E, E01, E04, E05, E08, E09, E10, E11, E14, E15, E16, E17, E18, E19, E20, E21, E48, E50, E58, E59, E67, E68, E77, E78, E79, E88, E89, E92, E97, E98, E99, M01-M21, R01, R04, R05, R08, R09, R10, R11, R14, R15, R16, R17, R19, R20, R21 and S01-S21 **25** Effective 04/01/02 to 06/30/03 for E01, E02, E03, E04, E09, E11, E15, E21, R01, R02, R03, R04, R09, R11, R15 and R21 Effective 05/01/02 to 06/30/03 for E14, E20, R14 and R20 **4B** Effective 09/01/04 to current for E18 and R18 employed by Dept of Developmental Services, Porterville Developmental Center Effective 01/01/07 to current for E18 and R18 employed by Dept of Developmental Services, Southern California Facility and Sierra Vista Facility. **4G** Effective 07/01/06 for R02 **4T** Effective 10/31/07 to current for E12 and R12 employed by the Dept of Transportation
Miscellaneous members hired on or after 07/01/06 in unit 2 with prior CalPERS service	Misc. First-Tier	O	**4H** Effective 07/01/06 for R02
Judicial Council employees in classes 2204, 2208, 2468, 2469, 3195, 3196, 3197, 3199, 3574 3590, 3814 and 5072	Misc. First-Tier	O	**4J** Effective 07/01/06 to current
Miscellaneous members newly hired to the State on or after 01/01/07 in CBID's E01, E03, E04, E07, E10-E21, R01, R03, R04, R07 and R10-R21 or completed 24 months of ARP participation on code TJ	Misc. First-Tier	O	**4L** Effective 01/01/07 to current **4P** Effective 01/01/07 to current for E18 and R18 employed at Porterville Developmental Center

ITEM 505
CALPERS RETIREMENT ACCOUNT CODES AND DESCRIPTIONS

MISCELLANEOUS SECOND-TIER

Description	Type of Member	O = SS/Med M = Medicare N = Neither	Account Codes and Effective Dates
Member with SS/Med elected Second-Tier coverage per AB 1104 General Election (11/01/88 through 10/31/89 or effective 01/01/95) OR Member appointed or reappointed between 11/01/88 and 12/31/99 OR Member appointed on or after 01/01/00, initially placed in First-Tier then elected Second-Tier for future service only OR Member has Industrial Disability Rights per Government Code 20047.5	Misc. Second-Tier	O	**41** Effective 11/01/88 to current **4D** Effective 09/01/04 for E18 and R18 employed by Dept of Developmental Services, Porterville Developmental Center Effective 01/01/07 to current for E18 and R18 employed by Dept of Developmental Services, Southern California Facility and Sierra Vista Facility. **4S** Effective 10/31/07 for E12 and R12 employed by Dept of Transportation
Miscellaneous members newly hired to the State initially placed in ARP then elected Second-Tier for future service only. OR Member has Industrial Disability Rights per Government Code 20047.5	Misc Second – Tier	O	**4Y** Effective 01/01/07 to current for R01, R03, R04, R07, R10-R21, E01, E03, E04, E07, E10-E21. Effective 07/01/06 to current for R02 or E02. **4Z** Effective 01/01/07 to current for E18 and R18 employed by Dept of Developmental Services, Southern California Facility and Sierra Vista Facility.
Member with SS/Med employed by CHP or Justice in class following classes: 1662, 1663, 1664, 1665, 8460, 8466, 8467, 8472, 8473, 8477 or 8478 who elected Second-Tier for all past and future service per AB 1104 General Election (11/01/88 through 10/31/89 or effective 01/01/95) OR Member appointed by CHP or Justice to one of the classes listed above who qualifies for membership between 11/01/88 and 01/01/00	Misc. Second-Tier	O	**44** Effective 11/01/88 * Effective 07/01/04 R07 moved to Safety code 19

CALPERS RETIREMENT ACCOUNT CODES AND DESCRIPTIONS

INDUSTRIAL FIRST-TIER

Description	Type of Member	O = SS/Med M = Medicare N = Neither	Account Codes and Effective Dates
Member elected no SS/Med in 1961 and has remained continuously employed since prior to 04/01/86 OR Member is non-resident alien not subject to SS/Med (F-1, J-1 or M-1 Visa) (item 545 = A) OR Member elected no SS/Med in 1961 and has remained continuously employed since prior to 04/01/86 and moves to an Industrial position on or after 07/01/2003 OR Member elected no SS/Med in 1961 and has remained continuously employed since prior to 04/01/86. At some point the member elected Second-Tier, now member elects First-Tier on or after 07/01/03	Indus. First-Tier	N	**90** Effective 01/01/75 to 12/31/99 **46** Effective 01/01/00 to 08/30/01 for all CBID's Effective 08/31/01 to 03/31/02 for E01, E02, E04, E09, E11, E15, E21, R01, R02, R03, R04, R09, R11, R15 and R21 Effective 08/31/01 to 04/30/02 for E14, E17, E20, R14, R17 and R20 Effective 10/01/01 to 06/30/02 for E13 and R13 Effective 07/01/03 for all CBID's Effective 10/1/03 to current for E02, E03, E07, E12, E13, E18, R02, R03, R07, R12, R13 and R18 Effective 10/01/04 for C01-C21, E, E01, E04, E05, E08, E09, E10, E11, E14, E15, E16, E19, E20, E21, E48, E50, E58, E59, E67, E68, E77, E78, E79, E88, E89, E92, E97, E98, E99, M01-M21, R01, R04, R05, R08, R09, R10, R11, R14, R15, R16, R19, R20, R21 and S01-S21 **93** Effective 08/31/01 to 06/30/03 for C01-C21, E, E05, E06, E07, E08, E10, E12, E16, E18, E48, E50, E58, E59, E68, E78, E79, E88, E89, E92, E97, E98, E99, M01-M21, R05, R06, R07, R08, R10, R12, R16, R18, R19 and S01-S21 Effective 08/31/01 to 09/30/01 for E13 and R13 Effective 05/01/02 to 06/03/03 for E17 and R17 Effective 07/01/02 to 06/30/03 for E13 and R13 Effective 10/01/03- 09/30/04 for C01-C21, E, E01, E04, E05, E08, E09, E10, E11, E14, E15, E16, E17, E19, E20, E21, E48, E50, E58, E59, E67, E68, E77, E78, E79, E92, E97, E98, E99, M01-M21, R01, R04, R05, R08, R09, R10, R11, R14, R15, R16, R17, R19, R20, R21 and S01-S21

ITEM 505
CALPERS RETIREMENT ACCOUNT CODES AND DESCRIPTIONS

INDUSTRIAL SECOND-TIER

Description	Type of Member	O = SS/Med M = Medicare N = Neither	Account Codes and Effective Dates
Member elected no SS/Med in 1961. At some point permanently separated, then reappointed between 04/01/86 and 12/31/99. OR Member elected Second-Tier for future service only. Permanently separated and reappointed between 04/01/86 and 12/31/99 OR Member reappointed on or after 01/01/00, initially placed in First-Tier then elected to go to Second-Tier for future service only	Indus. Second-Tier	M	**98** Effective 09/01/86
Member elected Second-Tier coverage per AB 1104 General Election 11/01/88 through 10/31/89 or effective 01/01/95 OR Member appointed or reappointed between 11/01/88 and 12/31/99 OR Member appointed or reappointed on or after 01/01/00 initially placed in First-Tier then elected to go to Second-Tier for future service only	Indus. Second-Tier	O	**47** Effective 11/01/88
Industrial member newly hired to the State on initially placed in ARP then elected Second-Tier for future service only.	Indus. Second-Tier	O	9D Effective 01/01/07 for R01, R03, R04, R07, R10-R21, E01, E03, E04, E07, E10-21. Effective 07/01/06 to current for R02 or E02.

ITEM 505
CALPERS RETIREMENT ACCOUNT CODES AND DESCRIPTIONS

SAFETY FIRST-TIER

Description	Type of Member	O = SS/Med M = Medicare N = Neither	Account Codes and Effective Dates
Miscellaneous/Industrial member continuously employed prior to 04/01/86 reclassified to State Safety, elected to retain their prior Miscellaneous/Industrial First-Tier retirement formula	Safety First-Tier	N	**10** Effective 08/31/01 to 03/31/02 for E01, E02, E03, E04, E05, E08, E09, E11, E15, E21, R01, R02, R03, R04, R05, R08, R09, R11, R15 and R21 Effective 08/31/01 to 04/30/02 for E14, E17, E20, R14, R17 and R20 Effective 07/01/03 for all CBID's Effective 10/1/03 to 09/30/04 for E02, E03, E07, E12, E13, E18, R02, R03, R07, R12, R13 and R18 Effective 10/01/04 for C01-C21, E, E01, E04, E05, E08, E09, E10, E11, E14, E15, E16, E19, E20, E21, E48, E50, E58, E59, E67, E68, E77, E78, E79, E88, E89, E92, E97, E98, E99, M01-M21, R01, R04, R05, R08, R09, R10, R11, R14, R15, R16, R19, R20, R21 and S01-S21 **11** Effective 08/31/01 to 06/30/03 for C01-C21, E06, E07, E08, E10, E12, E13, E16, E18, E19, E48, E50, E58, E59, E68, E78, E79, E88, E89, E92, E97, E98, E99, M01-M21, R05, R06, R07, R08, R10, R12, R16, R16, R18, R19 and S01-S21 Effective 05/01/02 to 06/30/03 for E17 and R17 Effective 10/01/03 for C01-C21, E, E01, E04, E05, E08, E09, E10, E11, E14, E15, E16, E17, E19, E20, E21, E48, E50, E58, E59, E67, E68, E77, E78, E79, E88, E89, E92, E97, E98, E99, M01-M21, R01, R04, R05, R08, R09, R10, R11, R14, R15, R16, R17, R19, R20, R21 and S01-S21 **6C** Effective 05/01/02 to 06/30/03 for E02 and R02 **6H** Effective 05/01/02 to 06/30/03 for E20 and R20 **1A** Effective 07/01/06 for R02
Miscellaneous/ Industrial member re-classed to State Safety, elected to retain their prior retirement formula. Permanently separated, reappointed to a Safety classification on or after 0/01/89	Safety First-Tier	M	**12** Effective 01/01/89 to 08/30/01 for all CBID's Effective 08/31/01 to 06/30/03 for E01, E02, E03, E04, E05, E08, E09, E11, E15, E21, R01, R02, R03, R04, R05, R08, R09, R11, R15 and R21

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CALPERS RETIREMENT ACCOUNT CODES AND DESCRIPTIONS

	Appendix III	
0983	State Park Ranger	R07
0984	State Park Ranger -Intermittent-	R07
0992	Lifeguard	R07
1915	State Park Ranger Cadet	R07
1916	State Park Cadet (Lifeguard)	R07
1937	Hospital Police Officer	R07
1945	State Fair Police Officer	R07
1946	Sergeant, State Fair Police	R07
1954	Peace Officer I, Developmental Center	R07
1960	Security Officer, Department of Justice	R07
2278	Pipeline Safety Engineer	R07
7539	Fraud Investigator, Department of Insurance	R07
7553	Investigator Trainee, Alcoholic Beverage Control	R07
7554	Investigator I, Alcoholic Beverage Control	R07
7555	Investigator II, Alcoholic Beverage Control	R07
7568	Criminal Investigator, Employment development Department	R07
7574	Criminal Investigator, Department of Toxic Substances Control	R07
8005	Fish and Game Patrol Lieutenant (Specialist)	R07
8064	Fraud Investigator, Department of Health Services	R07
8122	Coordinator – Law Enforcement – O.E.S.	R07
8188	Coordinator (Fire and Rescue Services)	R07
8410	Warden – Pilot Department of Fish and Game	R07
8416	Lieutenant Fish and Game Patrol Boat	R07
8421	Fish and Game Warden, Department of Fish and Game	R07
8482	Special Agent, Department of Justice	R07
8514	Special Agent Trainee, Department of Justice	R07
8524	Special Agent Supervisor, Department of Justice	R07
8538	Investigator, Department of Motor Vehicles	R07
8550	Senior Special Investigator	R07
8553	Special Investigator I	R07
8554	Investigator Assistant (Specific Employers)	R07
8557	Special Investigator I, Departments of Mental Health and Developmental Services	R07
8558	Senior Special Investigator, Department of Mental Health and Developmental Services	R07
8570	Corporations Investigator	R07
8571	Associate Corporations Investigator	R07
8591	Investigation Specialist II (Technical), Franchise Tax Board	R07
8593	Investigation Specialist I, Franchise Tax Board	R07
8594	Investigator, Department of Consumer Affairs	R07
8595	Senior Investigator, Department of Consumer Affairs	R07
8602	Lottery Agent	R07
8793	Enforcement Representative I, Contractors State License Board	R07
8795	Enforcement Representative II, Contractors State License Board	R07
8894	Arson and Bomb Investigator Assistant	R07
8958	District Representative II, Division of Codes and Standards	R07
8960	District Representative I, Division of Codes and Standards	R07
8979	Fire Fighter	R07
8980	State Fire Marshal Trainee	R07
8989	Captain Firefighter/Security Officer	R07
8990	Firefighter/Security Officer	R07
8997	Arson and Bomb Investigator	R07
9013	Deputy State Fire Marshal III (Specialist)	R07
9028	Food and Drug Program Specialist	R07
9039	Senior Food and Drug Investigator	R07
9086	Deputy State Fire Marshal	R07

ITEM 505
CALPERS RETIREMENT ACCOUNT CODES AND DESCRIPTIONS

Appendix III (cont.)		
9087	Fire Service Training Specialist	R07
9090	Fire Service Training Specialist II	R07
9506	Labor Standards Investigator	R07

ITEM 505
CALPERS RETIREMENT ACCOUNT CODES AND DESCRIPTIONS

ARP RETIREMENT

Description	Type of Member	O = SS/Med M = Medicare N = Neither	Account Codes and Effective Dates*
Members who are first employed by the state on or after 08/11/04 who contribute to ARP for the first 24 calendar months of employment OR Industrial ARP members who transfer to a Miscellaneous position within the first 24 calendar months of employment	ARP	O	**TK** Effective 08/11/04 to current * BU 02 moved to TE effective 07/01/06 * BU 12 moved to TN effective 10/31/07 *BU 18 moved to TR effective 01/01/07
Members who are first employed by the State on or after 08/11/04 who contribute to ARP for the first 24 months OR Miscellaneous ARP members who transfer to an industrial position within the first 24 calendar months of employment	ARP	O	**TP** Effective 08/11/04 to current * BU 02 moved to TF effective 07/01/06
Members in BU 18 employed at Porterville Developmental Center who are first employed by the State on or after 08/11/04 who contribute to ARP for the first 24 months of employment OR Members in BU 18 employed at Southern California Facility Developmental Center and Sierra Vista Developmental Center who are first employed by the State on or after 01/01/07 who contribute to ARP for the first 24 months of employment.	ARP	O	**TR** Effective 08/11/04 to current for employee at Porterville Developmental Center. Effective 01/01/07 to current for employees at Southern California Facility and Sierra Vista Facility.
Members who were pRevisediously in account code TK were moved to this account code on 07/01/06 OR Members in BU 02 who are first employed by the State between 08/11/04 and 06/30/06 who contribute to ARP for the first 24 calendar months of employment	ARP	O	**TE** Effective 07/01/06 for BU 02

ITEM 505
CALPERS RETIREMENT ACCOUNT CODES AND DESCRIPTIONS

ARP RETIREMENT

Description	Type of Member	O = SS/Med M = Medicare N = Neither	Account Codes and Effective Dates*
Industrial or Miscellaneous ARP members who are first employed by the State between 08/11/04 and 06/30/06 transfer to a Miscellaneous position in BU 02 with in the first 24 calendar months of employment			
Members who were pRevisediously in account code TP were moved to this account code on 07/01/06 OR Members in BU 02 who are first employed by the State between 08/11/04 and 06/30/06 who contribute to ARP for the first 24 calendar months of employment OR Industrial or Miscellaneous ARP members who are first employed by the State between 08/11/04 and 06/30/06 who transfer to a Industrial position in BU 02 within the first 24 calendar months of employment	ARP	O	**TF** Effective 07/01/06
Members in BU 02 who are first employed by the Stat on or after 07/01/06 who contribute to ARP for the first 24 calendar months of employment. OR Industrial or miscellaneous ARP members who are first employed by the State on or after 07/01/06 and transfer to a miscellaneous position in BU02 within the first 24 calendar months of employment.	ARP	O	**TG** Effective 07/01/06 for BU 02
Members in BU 02 who are first employed by the State on or after 07/01/06 who contribute to ARP for the first 24 calendar months of employment.	ARP	O	**TH** Effective 07/01/06 for BU 02

2.90 (Revised 05/10)

ITEM 715 - SERVICE PAY PERIOD

DESCRIPTION: Identifies a qualifying or non-qualifying pay period of State Service per DPA Regulation 599.608.

REQUIRED:

1 - When the effective date of a transaction DOES NOT reflect a qualifying or non-qualifying pay period.

2 - When reporting a 715 Transaction:
- ·to make a pay period non-qualifying *1; or
- to qualify a pay period while on NDI Leave (Employee returns to work for 11 days or more during the pay period, and Line 12 - Employment History, shows less than 11 days on work status.); or
- to qualify a pay period while on SDI leave; or
- to qualify a pay period or CCC employee on Federally Funded WCTD.
- to qualify a pay period while the employee is on furlough and dock (Employee's dock time minus furlough time would create a qualifying pay period.)

3 - When the effective date of a transaction DOES reflect a non-qualifying pay period and the agency is participating in the California Leave Accounting System (CLAS):
- For temporary separations (S49, S50, S51, S52, S53, S54, S55, S56, S57, S85); or
- for all appointment transactions returning an employee from a temporary separation (S49, S50, S51, S52, S53, S54, S55, S56, S57, S85)

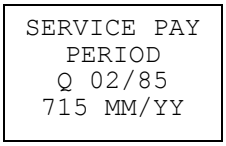
ENTER: Month/Year (mm/yy) next to:

"N" for non-qualifying pay period; or
"Q" for qualifying pay period

ADDITIONAL INFORMATION:

*1 When reporting a non-qualifying pay period resulting from a temporary or permanent separation for more than 11 consecutive working days which fall between two consecutive pay periods (this includes semi-monthly employees), an entry is required in Item 215 - Employment History Remarks (see PAM page 2.37.1).

EXAMPLE:



5.0 (Revised 05/10)

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5.104 (Revised 05/10)

IRS LOCK-IN LETTERS AND EAR PROCESSING

A lock-in determination letter results when the IRS determines that the amount of income tax withheld from the employee's pay will not adequately cover the employee's tax liability as required by IRS Code Section 3402.

The lock-in determination letter mandates the federal and state marital filing status and maximum number of total allowances that can be claimed by the employee. IRS, via the lock-in determination letter, requires the employer to initiate and maintain corrective measures until otherwise instructed in writing by the IRS.

An employer's failure to comply with a lock-in determination poses significant consequences. The employer is subject to civil and criminal penalties per IRC 6672 and IRC 7202. Compliance penalties may include the employer paying all taxes due, felony conviction with up to five years imprisonment, and personal fines up to $10,000 per occurrence plus payment for the costs of prosecution.

The IRS practice is to send an employer lock-in letter and the employee's lock-in letter with related attachments to the employer. For state employees, the letters are sent to the State Controller's Office who is the tax-reporting agent for state agencies. The State Controller's Office will forward the entire employee package to the employing agency. It is the agency's responsibility to forward the employee's lock-in letter with attachments to the employee immediately. The employee has 30 calendar days from the date of the lock-in letter to contact the IRS regarding her/his tax status.

For an employee who has transferred to another state agency, forward the entire IRS Lock-In letter transmittal package to the employee's new employing agency. If the employee has separated from state service, notify the IRS in writing that the employee is no longer employed by the State of California.

The IRS requires that the mandated filing status and allowances be implemented 60 calendar days from the date of letter. PPSD Personnel Operations will process an E03 EAR transaction on the appropriate date to implement the lock-in on the employee's employment history record. The lock will remain in effect even if the employee separates and later returns. The lock will only be changed or eliminated per a new directive from IRS.

The E03 EAR transaction updates a field titled "LOCK" on the employee's employment history EAR record. PPSD updates the EAR "LOCK", "FEDERAL: MARITAL", "FEDERAL: TOTAL", "SPECIAL: MARITAL", and "SPECIAL: REG" fields per the IRS lock-in determination letters. Any exempt from withholding / non-taxable wages indicator is also deleted; however any federal and state additional tax deduction amount continues. The values in the "LOCK" field are displayed on the EAR screen and cannot be altered by agencies.

When an IRS mandated lock-in is in effect, the only authorized withholding changes allowed are those which result in an equal or greater withholding amount than the amount generated by the lock-in values.

IRS LOCK-IN LETTERS AND EAR PROCESSING (Cont.)

A new EAR cannot be accepted if the employee is claiming exempt status or a filing status and allowances that result in a withholding amount that is less than the amount generated by the status and allowances displayed in the EAR "LOCK" field. If no lock is in place, "00" will display in the EAR "LOCK" field.

Only PPSD can key tax withholding changes for employees with an IRS Lock. If an IRS Lock is in place, attempts by departments to key federal or state tax withholding changes will result in the audit message "IRS LOCK IN EFFECT – SUBMIT DOCUMENT TO PPSD FOR PROCESSING". This audit message cannot be overridden. To make withholding changes for an employee with an IRS Lock submit the STD. 686 document to PPSD for processing.

The online paycheck calculator available on the State Controller's Office website at http://www.sco.ca.gov/ppsd/empinfo/calc/paycalc.shtml can assist with tax calculations. Please be sure to use the appropriate version for the current tax year.

All inquiries concerning IRS lock-in determinations should be referred to the IRS contact contained in the lock-in determination letter.

ERROR: **SEPARATION EAR (FORM 687) - OTHER THAN ADDRESS**

ACTION:

1. Same date as keyed
   A. Complete another Separation EAR (Form 687).
      - PSD REFERENCE NUMBER - use same number assigned to original Separation EAR if correction will be keyed today. (If not, refer to instructions for #2 below.)
      - Complete all sections that were completed on the original Separation EAR, exactly as they were completed.
      - Enter "KEY ERROR" on Employee Signature line.
      - Complete Reviewer Signature, Date and Phone Number.

   B. Key the transaction.

2. Different date than keyed
   A. Complete another Separation EAR (Form 687).
      - Complete all sections that were completed on original Separation EAR, exactly as they were completed.
      - Enter the following statement on Employee Signature line: "KEY ERROR-REFER TO PSD REFERENCE NUMBER (show number of original Separation EAR)".
      - Complete Reviewer Signature, Date and Phone Number.

   B. Assign a new PSD Reference Number on the day the Separation EAR will be keyed and key the transaction.

ERROR: **EAR-01 FEDERAL MARITAL OR FEDERAL TOTAL MUST BE PRESENT**

ACTION: If either marital status or tax exemptions total is entered, then both must be entered. Take one or more of the following steps to resolve the audit error:

1. Verify that the martial status (Item 3310) and tax exemptions total (Item 3330) are documented correctly and keyed correctly on the transaction.
2. Terminate the update and re-key the transaction.
3. If the audit message is received again, contact the Personnel Operations Liaison Unit for assistance.

ERROR: **EAR-02 SPECIAL MARITAL, REGULAR, AND/OR SPECIAL ADDITIONAL MUST BE ENTERED**

ACTION: If regular allowances for state and/or allowances itemized deductions state are entered, then martial status state must be entered. Take one or more of the following steps to resolve the audit error:

1. Verify that the regular allowances state (Item 3361), allowances itemized deductions state (Item 3370) and marital status state (Item 3311) are documented correctly and keyed correctly on the transaction.
2. Terminate the update and re-key the transaction.
3. If the audit message is received again, contact the Personnel Operations Liaison Unit for assistance.

ERROR: **EAR-03 EXEMPTION FROM WITHHOLDING IS INVALID**

ACTION: If martial status state, additional state tax, or additional federal tax is entered, then exemption from withholding tax must not be entered. Take one or more of the following steps to resolve the audit error:

1. Verify that the martial status state (Item 3311), additional state tax (Item 3380), additional federal tax (Item 3385) and exemption from withholding (Item 3390) are documented correctly and keyed correctly on the transaction.
2. Terminate the update and re-key the transaction.
3. If the audit message is received again, contact the Personnel Operations Liaison Unit for assistance.

ERROR: **EAR-04 IRS LOCK IN EFFECT – SUBMIT DOCUMENT TO PPSD FOR PROCESSING (NEW 05/10)**

ACTION: If record contains an IRS Lock then any tax withholding changes must be processed by Personnel/Payroll Services Division. Take the following steps to resolve the audit error:

1. Verify the federal and state tax withholdings are equal to the IRS lock or will result in a greater tax withholding amount.
2. Submit EAR to PPSD for processing. Transaction cannot be keyed by departments.

ERROR: **EAR-05 EMPLOYEE STREET, CITY, STATE AND ZIP MUST ALL BE ENTERED IF ANY ARE ENTERED**

ACTION: If any part of the employee's address is entered, then street, city, state and zip code must all be entered. Take one or more of the following steps to resolve the audit error:

1. Verify that the street (Item 3101), city and state (Item 3102) and zip code (Item 3103) are documented correctly and keyed correctly on the transaction.
2. Terminate the update and re-key the transaction.
3. If the audit message is received again, contact the Personnel Operations Liaison Unit for assistance.

ERROR:	**EAR-06 140-01 INVALID BIRTH DATE (NEW 09/03)**
ACTION:	If entered, the difference between BIRTH DATE (Item 140-01) and CURRENT DATE (Today's Date) must be greater than 13 years and must be less than 85 years. Take one or more of the following steps to resolve the audit error: 1. Verify that the birth date (Item 140-01) is documented correctly and keyed correctly on the transaction. 2. If the employees birth date is correct and the audit message is received, then terminate the update and re-key the transaction. 3. If the audit message is received again, contact the Personnel Operations Liaison Unit for assistance
ERROR:	**EAR-07 IRS LOCK IN EFFECT – VERIFY CHANGES COMPLY WITH IRS LOCK-IN LETTER (NEW 05/10)**
ACTION:	If record contains an IRS Lock then the federal and state tax withholdings should equal the IRS value or generate a greater tax withholding. NOTE: This error message will only be received by Personnel/Payroll Services Division staff.