
Chapter 21. Realignment and Mass Transfer (Nature of Action 132 and 790)

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Chapter 21. Realignment and Mass Transfer

1. Coverage.

a. This chapter covers the actions taken to effect an agency realignment and the actions taken by the *gaining* agency to effect a mass transfer. The chapter covers actions for employees whose appointments are temporary as well as those whose appointments are non-temporary.

b. This chapter does *not* cover:

(1) Actions taken by the losing agency in a mass transfer (see Chapter 31);

(2) Actions that change the appointment on which the employee is serving (see instructions for appointments and conversions to appointment in Chapters 9-13);

(3) Movement of employee and employee's position to a new duty station when the move is *not* the result of a transfer of function or an organization change, e.g., when move is a part of a rotation program or the result of the agency moving to a different building in a different city in the same commuting area (see Chapter 23); or

(4) Assignment of a different agency management or budget code to the employee's organization, or changing the name of the organization to which the employee is assigned, when no change in the function or in the employee's position, grade, salary, location, or agency code, occurs. These changes are not reported to the Office of Personnel Management and can be documented with an agency nature of action in the 900-series. (See job aid, **Sample Notice that Name of Organization has Changed**, in this Chapter.)

2. Definitions.

a. A realignment is the movement of an employee and employee's position when:

- an organization change (such as reorganization or transfer of function) occurs,
- the employee stays in the same agency, *and*
- there is no change in the employee's position, grade or pay. (Note: For changes in pay, including locality pay, see Chapter 17.)

Information on transfer of function and reorganization is in 5 CFR part 351, subpart C.

b. A mass transfer is the movement of an employee with employee's position to a different agency when:

- an organization change (such as a transfer of function) takes place, *and*
- there is no change in the employee's position, grade, or pay. (Note: For purposes of this definition, a change in the amount of any locality payment to which the employee is entitled is *not* a change in pay.)

3. Use of the List Form of Notice.

When a large number of employees are being affected by the realignment or mass transfer, the agency may find it easier and more economical to record the actions on a list form of notice rather than preparing individual Standard Form 50s, Notification of Personnel Action. Refer to Chapter 4 of this **Guide** for instructions on preparing the list form.

4. Use of Agency Notices.

Agencies may use any method that meets the conditions in Chapter 4, section 6, to notify employees of realignment actions. This is an additional agency option in lieu of the individual Standard Form 50, Notification of Personnel Action, or the list form of notice.

5. Use of the Standard Form 52.

Although a Standard Form 52, Request for Personnel Action, is needed to process many actions, its use for realignments and mass transfers is not required in all cases. When the Standard Form 50, Notification of Personnel Action, is used to document the realignment or mass transfer and it can be prepared directly from the information in the employee's Official Personnel Folder, your agency's automated personnel system, or directly from an alternative approving document, then a Standard Form 52 is not necessary.

Generally, a Standard Form 52 is used only when a few employees are affected by the realignment or mass transfer, especially when the requesting office is responsible for its preparation. If a list form of notice, or an agency issuance rather than the Standard Form 50, is to be used, an alternative approving document is generally used instead of a Standard Form 52.

When the Standard Form 52 is used, and prepared in the Personnel Office, it is used only as a working document. No requesting official signatures are needed.

6. Office that Issues the Standard Form 50 or List Form.

a. Realignment. When the employing office changes, the gaining office issues the Standard Form 50, list form, or agency issuance.

b. Mass Transfer. The gaining office issues the Standard Form 50 or list form for Mass Transfer. The losing agency issues the Standard Form 50 or list form for Termination—Appt in (agency) as required by Chapter 31.

7. Filing.

Documentation of realignment actions is not authorized for long-term Official Personnel Folder retention. Agencies *may* file realignment documentation among temporary documents on the left side of the Official Personnel Folder at their option. If the agency uses a Standard Form 50 to document the realignment, that form should not be filed on the right side of the Official Personnel Folder.

8. Appointment Authority.

The legal authority used to process a mass transfer is the authority for changing the agency. It does not affect the individual employee's appointment. The legal authority for a mass transfer should *not* be reported to >Enterprise Human Resources Integration (EHRI)< as the current appointment authority.

Job Aid

Instructions on Processing List and Other Agency Forms of Notice to Document Actions for Realignment and Mass Transfer

STEP	ACTION						
1	Review the document that authorizes the realignment or mass transfer to determine which employees are affected by the change and whether the change will place the employee(s) under the jurisdiction of a different servicing personnel or payroll office.						
2	<p>Follow instructions in Chapter 4, section 5, to prepare and distribute the list form or if using an agency issuance to notify employees of a realignment, follow agency instructions.</p> <p>Use Table 21 to select the nature of action, authority, and remarks. In the case of a realignment action for an employee who is serving on a temporary assignment, asterisk or footnote the employee's name and cite the following remarks, as appropriate.</p> <table border="1" style="width: 100%; margin-left: 40px;"> <thead> <tr> <th style="text-align: center;"><i>When temporary assignment is...</i></th> <th style="text-align: center;"><i>Use Remark Code and Remark...</i></th> </tr> </thead> <tbody> <tr> <td>Promotion NTE (date)</td> <td>M23 Continues 703 Promotion NTE (date)</td> </tr> <tr> <td>Position Change NTE (date)</td> <td>M24 Continues 741 Position Change NTE (date)</td> </tr> </tbody> </table>	<i>When temporary assignment is...</i>	<i>Use Remark Code and Remark...</i>	Promotion NTE (date)	M23 Continues 703 Promotion NTE (date)	Position Change NTE (date)	M24 Continues 741 Position Change NTE (date)
<i>When temporary assignment is...</i>	<i>Use Remark Code and Remark...</i>						
Promotion NTE (date)	M23 Continues 703 Promotion NTE (date)						
Position Change NTE (date)	M24 Continues 741 Position Change NTE (date)						
3	<p>If employee's residence or worksite changes to a different State or local jurisdiction (city/county), ask employee to complete new State and local tax withholding forms, as applicable.</p> <p>If the payroll office changes, ask employee to complete Form W-4 for Federal income tax withholding in addition to new State and local tax withholding forms, if applicable.</p>						
4	Change any agency records (such as employee locator files) that reflect the organization.						
5	If employee is moved to an area not covered by his or her health benefits plan, employee may change enrollment. See The Federal Employees Health Benefits Handbook for Personnel and Payroll Offices .						
	<i>Continued on next page</i>						

Job Aid

Instructions on Processing List and Other Agency Forms of Notice to Document Actions for Realignment and Mass Transfer, continued

STEP	ACTION	
6	Issue and distribute the list form to document the action.	
7	***	
8	When the Personnel Office, the Payroll Office, or both change, complete the following additional actions.	
	<i>When the Personnel Office Changes</i>	<i>When the Payroll Office Changes</i>
	Request the employee's Official Personnel Folder from the losing personnel office. When it arrives, file any documents submitted with, or created in connection with, the action, as appropriate.	If health benefits coverage continued, following instructions in <u>The Federal Employees Health Benefits Handbook for Personnel and Payroll Offices.</u>

Job Aid

Instructions for Processing the Standard Form 50, Notification of Personnel Action, for Realignment and Mass Transfer

STEP	ACTION						
1	<p>Review the document that authorizes the realignment or mass transfer to determine which employees are affected by the change and whether the change will place the employee(s) under the jurisdiction of a different servicing personnel or payroll office. If you are not sure, ask your personnel specialist.</p> <p>The authorizing document may be a Standard Form 52, Request for Personnel Action, or it may be a document that is described in your agency procedures established for these types of personnel actions. If the authorizing document is other than the Standard Form 52, check your agency's procedures to see whether a Standard Form 52 is required. If agency procedures require the use of the Standard Form 52, check whether the office involved prepares the Standard Form 52 or if one is prepared in the Personnel Office.</p> <p style="text-align: center;"><i>When the Standard Form 52 is Used</i></p> <table border="1" style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th style="width: 50%; text-align: center;"><i>If the office involved submits the Standard Form 52...</i></th> <th style="width: 50%; text-align: center;"><i>If the Personnel Office prepares the Standard Form 52...</i></th> </tr> </thead> <tbody> <tr> <td style="vertical-align: top;"> <p>Compare the data on it with last action in the employee's Official Personnel Folder to be sure it is correct.</p> </td> <td style="vertical-align: top;"> <p>Use Table 21 to select the nature of action, authority, and remarks; enter them in blocks 5A-5F and Part F of the Standard Form 52. Also enter in Part F any additional remarks/remarks codes that are required by your agency's instructions or that are necessary to explain the action. If the employee's duty station, location code, and/or agency code changes, enter the new data on the Standard Form 52.</p> </td> </tr> <tr> <td style="vertical-align: top;"> <p>Use Table 21 to select the nature of action, authority, and remarks; enter them in blocks 5A-5F and Part F of the Standard Form 52. Also enter in Part F any additional remarks/remarks codes that are required by your agency's instructions or that are necessary to explain the action. If the employee's duty station, location code, and/or agency code changes, enter the new data on the Standard Form 52.</p> </td> <td style="vertical-align: top;"> <p>Fill in the remaining blocks of the Standard Form 52 as required by instructions in Chapter 4 of this Guide. Follow your agency's procedures to get the approval signature on the Standard Form 52.</p> </td> </tr> </tbody> </table>	<i>If the office involved submits the Standard Form 52...</i>	<i>If the Personnel Office prepares the Standard Form 52...</i>	<p>Compare the data on it with last action in the employee's Official Personnel Folder to be sure it is correct.</p>	<p>Use Table 21 to select the nature of action, authority, and remarks; enter them in blocks 5A-5F and Part F of the Standard Form 52. Also enter in Part F any additional remarks/remarks codes that are required by your agency's instructions or that are necessary to explain the action. If the employee's duty station, location code, and/or agency code changes, enter the new data on the Standard Form 52.</p>	<p>Use Table 21 to select the nature of action, authority, and remarks; enter them in blocks 5A-5F and Part F of the Standard Form 52. Also enter in Part F any additional remarks/remarks codes that are required by your agency's instructions or that are necessary to explain the action. If the employee's duty station, location code, and/or agency code changes, enter the new data on the Standard Form 52.</p>	<p>Fill in the remaining blocks of the Standard Form 52 as required by instructions in Chapter 4 of this Guide. Follow your agency's procedures to get the approval signature on the Standard Form 52.</p>
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<p>Use Table 21 to select the nature of action, authority, and remarks; enter them in blocks 5A-5F and Part F of the Standard Form 52. Also enter in Part F any additional remarks/remarks codes that are required by your agency's instructions or that are necessary to explain the action. If the employee's duty station, location code, and/or agency code changes, enter the new data on the Standard Form 52.</p>	<p>Fill in the remaining blocks of the Standard Form 52 as required by instructions in Chapter 4 of this Guide. Follow your agency's procedures to get the approval signature on the Standard Form 52.</p>						
2	<p>Follow the instructions in Chapter 4 of this Guide to complete the Standard Form 50. Follow your agency's instructions to have it signed or authenticated.</p>						
3	<p>Follow your agency's instructions to distribute the Standard Form 50 copies.</p>						
<p><i>Continued on next page</i></p>							

Job Aid**Instructions for Processing the Standard Form 50, Notification of Personnel Action, for Realignment and Mass Transfer, continued**

STEP	ACTION
4	<p>If employee's residence or worksite changes to a different State or local jurisdiction (city/county), ask employee to complete new State and local tax withholding forms, as applicable.</p> <p>If the payroll office changes, ask employee to complete Form W-4 for Federal income tax withholding in addition to new State and local tax withholding forms, if applicable.</p>
5	Change any agency records (such as employee locator files) that reflect the organization.
6	If employee is moved to an area not covered by his or her health benefits plan, employee may change enrollment. (See instructions on back of the Standard Form 2809, Health Benefits Registration Form.) Follow instructions in The Federal Employees Health Benefits Handbook for Personnel and Payroll Offices .
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Job Aid

Sample Notice that Name of Organization has Changed

Personnel Action Notification
(Approved SF 50 Exception)

Nature of Action Code and Action: 9XX Chg in Organization Name

Effective Date: 10-02-98

Authority Code and Authority: ZLM/Director's Memorandum of 09-16-98

Effective this date the Advisory Services Division, Office of Workforce Information, is redesignated as the Workforce Records Management Division, Office of Workforce Information. Type of appointment, position, grade, salary, location code, agency code, and Personnel Office Identifier of employees who were assigned to the Advisory Services Office remain unchanged.

Robert N. Smith
Personnel Officer
DATE: 10-03-98

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Table 21. Documenting Realignments and Mass Transfers

<i>R U L E</i>	<i>If</i>	<i>And employee is</i>	<i>Then NOAC is</i>	<i>Nature of Action is</i>	<i>Authority Code is</i>	<i>Authority is</i>	<i>Remark Code is</i>	<i>Remark is</i>
1	The agency changes	Serving on a Senior Executive Service Career Appointment	132	Mass Transfer	V6M	5 U.S.C. 3395 (a)(1)(b)		
2		Serving an appointment not described in Rule 1			ZLM	(Enter Law, Executive Order, Presidential Reorganization Plan, etc., that authorized the action.)		
3	The agency does not change	Serving on a Promotion NTE (date)	790	Realignment	UNM	(Cite the agency letter, memo, directive, or order that authorized the action.)	M23	Continues 703 Promotion NTE (date).
4		Serving on a Position Change NTE (date)					M24	Continues 741 Psn Change NTE (date).
5		Rules 3 and 4 do not apply						