

U.S. Office of Personnel Management  
Operating Manual Update

# The Guide to Processing Personnel Actions

Update 81

## ***Notice***

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**Distribution:** Operating Manual, The Guide to Processing Personnel Actions

U.S. Office of Personnel Management

**Summary of Changes, Chapter 21 (Update 81)**

Removed Pages	Identification	Insert Page	Explanation of Changes
21-1 thru 21-11	N/A	1 thru 11	Chapter 21, in its' entirety has been updated, to include: (1) reformatted page numbers from 21-1, 21-2, 21-3, etc., to new format of 1, 2, 3, etc.; (2) added a footnote to each page to reflect Chapter number and title of guide; (3) reformatted text from column to paragraph to meet 508 compliance requirements; (4) distinguished new text changes and/or additions in <b>&gt;dark red font surrounded by angled brackets&lt;</b> ; (5) distinguished deletion/removal of text with <b>*** in green font</b> ; and, (6) removed all symbols annotating historical changes throughout the chapter.

**Listing of Specific Changes to Chapter 21**

Chapter	Page Number(s)	Explanation of Changes
21	Various	Incorporated hyperlinks to regulatory items and Standard Forms throughout Chapter 21 Removed: the words "Standard Form" and Added: SF- as appropriate.
21	2	Section 2: Definitions: a: A realignment: Changed definition for realignment to match definition in GPPA Chapter 35-Glossary.
21	5	Job Aid: Step 2: Promotion NTE (date) and Position Change NTE (date): Removed: the words "Use" in front of remark code, "and" in front of Remark

Chapter	Page Number(s)	Explanation of Changes
21	7	Job Aid: Step1: Added: Use Step 1A and Use Step 1B.
21	10	Job Aid Sample Notice: changed: dates from 10-02-1998 to 10-02-2023, 9-16-1998 to 9-16-2023 and 10-03-1998 to 10-03-2023
21	11	Table 21A: Added: Notes and Remarks Columns have been added, along with identifier "Reserved for Future Use". Added: Note #1: 1. Use Secondary LAC "ZBB" for actions in support of the <a href="#">Infrastructure Investment and Jobs Act (P.L. 117-58)</a> . Added: see Note 1.

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

## Contents

1. Coverage .....	2
2. Definitions .....	2
3. Use of the List Form of Notice .....	3
4. Use of Agency Notices.....	3
5. Use of the Standard Form 52 .....	3
6. Office that Issues the Standard Form 50 or List Form .....	4
7. Filing .....	4
8. Appointment Authority .....	4
<b>Job Aids.....</b>	<b>5</b>
Instructions on Processing List and Other Agency Forms of Notice to Document Actions for Realignment and Mass Transfer .....	5
Instructions for Processing the Standard Form 50, Notification of Personnel Action, for Realignment and Mass Transfer .....	7
Sample Notice that Name of Organization has Changed .....	10
<b>Table .....</b>	<b>11</b>
Table 21-A. Documenting Realignments and Mass Transfers .....	11

New text changes and/or additions are distinguished in **>dark red font surrounded by angled brackets<**. Deletion/removal of text is distinguished with \*\*\* in green font.

## 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:
  - i. Actions taken by the losing agency in a mass transfer (see Chapter 31);
  - ii. Actions that change the appointment on which the employee is serving (see instructions for appointments and conversions to appointment in Chapters 9-13);
  - iii. 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
  - iv. 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:
  - i. **\*\*\*>a transfer of function or an organization change occurs, and<**

- ii. the employee stays in the same agency, *and*
- iii. 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:
  - i. an organization change (such as a transfer of function) takes place, *and*
  - ii. 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 SF-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 [\\*\\*\\*>SF-50<](#), Notification of Personnel Action, or the list form of notice.

### 5. Use of the Standard Form 52

Although a [\\*\\*\\*>SF-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 [\\*\\*\\*>SF-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 \*\*\*>[SF-52, Request for Personnel Action](#)< is not necessary.

Generally, a \*\*\*>[SF-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 \*\*\*>[SF-50](#)<, is to be used, an alternative approving document is generally used instead of a \*\*\*>[SF-52](#)<.

When the \*\*\*>[SF-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 \*\*\*>[SF-50](#)<, list form, or agency issuance.
- b. **Mass Transfer.** The gaining office issues the \*\*\*>[SF-50](#)< or list form for Mass Transfer. The losing agency issues the \*\*\*>[SF-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 (temporary) side of the Official Personnel Folder at their option. If the agency uses a \*\*\*>[SF-50](#)< to document the realignment, that form should not be filed on the right(permanent) 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 Aids

### 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 <a href="#">Table 21-A</a> 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> <p><i>When temporary assignment is...</i></p> <p>Promotion NTE (date) use:</p> <ul style="list-style-type: none"> <li>• ***remark code <b>M23</b> *** remark <b>Continues 703 Promotion NTE (date)</b></li> </ul> <p>Position Change NTE (date) use:</p> <ul style="list-style-type: none"> <li>• ***remark code <b>M24</b> ***remark <b>Continues 741 Position Change NTE (date)</b></li> </ul>
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.



<b>Step</b>	<b>Action</b>
5	If employee is moved to an area not covered by his or her health benefits plan, employee may change enrollment. See <a href="#">The Federal Employees Health Benefits Handbook for Personnel and Payroll Offices</a> .
6	Issue and distribute the list form to document the action.
7	
8	<p>When the Personnel Office, the Payroll Office, or both change, complete the following additional actions.</p> <p><i>When the Personnel Office Changes:</i></p> <ul style="list-style-type: none"><li>• 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.</li></ul> <p><i>When the Payroll Office Changes:</i></p> <ul style="list-style-type: none"><li>• If health benefits coverage continued, following instructions in <a href="#">The Federal Employees Health Benefits Handbook for Personnel and Payroll Offices</a>.</li></ul>

## 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 <b>***&gt;SF-52&lt;</b>, 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 <b>***&gt;SF-52&lt;</b>, check your agency's procedures to see whether a <b>***&gt;SF-52&lt;</b> is required.</p> <p>If agency procedures require the use of the <b>***&gt;SF-52&lt;</b>, check whether the office involved prepares the <b>***&gt;SF-52&lt;</b> or if one is prepared in the Personnel Office.</p> <p><b>Use Step 1A</b> <i>If the office involved submits the <b>***&gt;SF-52&lt;</b>.</i>  <b>Use Step 1B</b> <i>If the Personnel Office prepares the <b>***&gt;SF-52&lt;</b>.</i></p> <p style="text-align: center;"><i>Continued next page</i></p>

Step	Action
1	<p><b>When the Standard Form 52 &gt;<a href="#">SF-52</a>&lt; is used:</b></p> <p><i>a. If the office involved submits the ***&gt;<a href="#">SF-52</a>&lt;:</i></p> <ul style="list-style-type: none"> <li>• Compare the data on it with last action in the employee’s Official Personnel Folder to be sure it is correct.</li> <li>• Use Table 21 to select the nature of action, authority, and remarks; enter them in blocks 5A-5F and Part F of the ***&gt;<a href="#">SF-52</a>&lt;. 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 ***&gt;<a href="#">SF-52</a>&lt;.</li> </ul> <p><i>b. If the Personnel Office prepares the ***&gt;<a href="#">SF-52</a>&lt;:</i></p> <ul style="list-style-type: none"> <li>• Use <a href="#">Table 21-A</a> to select the nature of action, authority, and remarks; enter them in blocks 5A-5F and Part F of the ***&gt;<a href="#">SF-52</a>&lt;. 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 ***&gt;<a href="#">SF-52</a>&lt;.</li> <li>• Fill in the remaining blocks of the ***&gt;<a href="#">SF-52</a>&lt; as required by instructions in Chapter 4 of this Guide. Follow your agency’s procedures to get the approval signature on the ***&gt;<a href="#">SF-52</a>&lt;.</li> </ul>
2	<p>Follow the instructions in Chapter 4 of this <b>Guide</b> to complete the ***&gt;<a href="#">SF-50</a>&lt;. Follow your agency’s instructions to have it signed or authenticated.</p>
3	<p>Follow your agency’s instructions to distribute the ***&gt;<a href="#">SF-50</a>&lt; copies.</p>

<b>Step</b>	<b>Action</b>
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	<p>Change any agency records (such as employee locator files) that reflect the organization.</p>
6	<p>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 <a href="#">Standard Form 2809</a>, Health Benefits Registration Form.) Follow instructions in <a href="#">The Federal Employees Health Benefits Handbook for Personnel and Payroll Offices</a>.</p>

## Job Aid

### Sample Notice that Name of Organization has Changed

Personnel Action Notification  
(Approved SF 50 Exception)

**Nature of Action Code and Action:** 9XX Change in Organization Name

**Effective Date:** \*\*\*>10-02-2023<

**Authority Code and Authority:** ZLM/Director's Memorandum of \*\*\*>09-16-2023<

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: \*\*\*>10-03-2023<

## Table

**Table 21-A. Documenting Realignments and Mass Transfers**

>Notes and Remarks columns have been added.<

<b>Rule</b>	<b>If</b>	<b>And employee is</b>	<b>Then NOAC is</b>	<b>NOA is</b>	<b>Authority Code is</b>	<b>Authority is</b>	<b>Remark Code is</b>	<b>Remark is</b>	<b>Notes</b>	<b>Remarks</b>
1	The agency changes	Serving on a Senior Executive Service Career Appointment	132	Mass Transfer	V6M	<a href="#">5 U.S.C. 3395 (a)(1)(b)</a>			>1. Use Secondary LAC "ZBB" for actions in support of the <a href="#">Infrastructure Investment and Jobs Act (P.L. 117- 58)</a> <.	>Reserved for Future Use<
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.) >(see Note 1)<	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								