

U.S. OFFICE OF PERSONNEL MANAGEMENT

OPERATING MANUAL UPDATE

Washington, DC 20415  
August 1, 1999

The Guide to Processing Personnel Actions

Update 31

Summary of Changes

Remove		Insert	Explanation of Changes
Page	Identification	Page	
3-1 thru 3-23	Various	3-1 thru 3-35	Makes various format and editorial changes.
9-21 and 9-22	Update 30 February 26, 1999	9-21 and 9-22	Correct typographical errors in rules 5 and 6.
10-13 thru 10-14	Update 30 February 26, 1999	10-13 and 10-14	Add missing information in rules 3 and 4.

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**Distribution:** Operating Manual, THE GUIDE TO PROCESSING PERSONNEL ACTIONS

**Inquiries:** For inquiries about information in this update, contact the Office of Merit Systems Oversight and Effectiveness, Office of Workforce Information, Personnel Records and Systems Division by email at [owi@opm.gov](mailto:owi@opm.gov).

## The Guide to Processing Personnel Actions (2)

### Summary of Changes — continued

Remove		Insert	Explanation of Changes
Page	Identification	Page	
31-1 thru 31-66	Various	31-1 thru 31-41	(1) Clarifies the policy on documenting reasons for separations; (2) Updates Official Personnel Folder filing requirements; (3) Eliminates references to the Standard Form 293. (4) Changes legal authority code R5M to R6M to reduce possible miscodings. (5) Adds remark B70 on life insurance open enrollment elections. (6) Corrects printing errors on remarks B69 and M04.
32-1 thru 32-34	Various	32-1 thru 32-38	Makes various format and editorial changes.

## Chapter 3. General Instructions for Processing Personnel Actions

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## Chapter 3. General Instructions for Processing Personnel Actions

### Subchapter 1. General Instructions

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#### 1-1. Authority to Prescribe Reporting Requirements.

The Office of Personnel Management's authority to prescribe reporting requirements covering personnel actions is in section 2951, title 5, U.S. Code. Part 7.2, title 5, U.S. Code of Federal Regulations, is based on that statute, and extends this authority to all types of appointments and personnel actions.

#### 1-2. Employee Name.

**a. Name Used.** The general rule on use of a name on an employee's records is consistency: show the employee's name in the same way on all Government records. The name to record on official personnel records for an appointee is the name commonly used in the community where the appointee resides, for example, the name entered on application papers and used for social security records, driver's license, income tax purposes, and bank accounts. If application papers reflect a nickname enclosed in parentheses or quotation marks, it is not considered part of the employee's name for personnel records.

**b. Recording employee's name.** The name is recorded on the Official Personnel Folder and on Notifications of Personnel Action in the following manner:

LAST NAME [comma] SUFFIX (Jr., Sr.)  
 [comma] [space]  
 FIRST NAME or INITIAL [space]  
 MIDDLE NAME(s) or initial(s)

Examples:

DOE, Jr., JOHN NMN  
 MARTIN, M. CATHERINE  
 O'REILLY, JOHN F.X.  
 MARTINEZ-SANDOVAL, MARIA  
 ELENA

When a personnel document asks for a middle name or initial, and the employee has no middle name or initial, enter "NMN." Record apostrophes and hyphens of spaces between double names only as used by the employee. Do not use titles, such as "Mr." "Ms.," "Miss," "Dr.," and "Professor," on Notifications of Personnel Action or on the Official Personnel Folder.

#### 1-3. Effective Dates.

**a. Prior Approval.** Except as explained in Table 3-A, no personnel action can be made effective prior to the date on which the appointing officer approved the action. That approval is documented by the appointing officer's pen and ink signature or by an approved electronic authentication in block 50 of the Standard Form 50, or in Part C-2 of the Standard Form 52. By approving an action, the appointing officer certifies that the action meets all legal and regulatory requirements and, in the case of appointments and position change actions, that the position to which the employee is being assigned has been established and properly classified.

**b. Setting Effective Dates.** Unless otherwise indicated on the Notification of Personnel Action, separations and actions to terminate grade and pay retention are

effective at the end of the day (midnight); all other actions are effective at the beginning of the day (12:01 a.m.).

Separations are actions that remove employees from the rolls of their agencies, for example, deaths, resignations, terminations, removals, and retirements. Any action whose nature of action code (NOAC) begins with a "3" is a separation.

(1) Follow instructions in Table 3-A to set dates in situations where approval of the appointing officer is required. Use Figure 3-1 to identify Comptroller General decisions that address effective dates and how they are set in specific situations.

(2) Follow instructions in Table 3-B to set dates in those situations where prior approval of the appointing officer is not required.

#### **1-4. Approval of Personnel Actions.**

**a. Requirement for approval.** As explained in paragraph 1-3a, most personnel actions must be approved by the appointing officer on or before their effective dates. An appointing officer is an individual in whom the power of appointment is vested by law or to whom it has been legally delegated. Only an appointing officer may sign and date the certification in Part C-2 of the Standard Form 52 or blocks 50 and 49 of the Standard Form 50 to approve an action.

**b. Delegation of appointing authority.** Under 5 U.S.Code 302, the head of an agency may delegate appointing authority to subordinates. Such delegations are generally made to the agency's director of personnel who then redelegates the authority to other members of the personnel staff, as necessary. A delegation of appointing authority may be made to a specific individual or to the incumbent of

specific position. The delegation must be in writing and define clearly the extent of the authority being granted, for example, authority to approve all within-grade increase actions.

**c. Responsibilities of the appointing officer.** The appointing officer is responsible for ensuring that each personnel action he or she approves meets all legal and regulatory requirements. He or she is responsible for approving determinations made by recruiters, staffing specialists, personnel assistants, and other personnel office staff with regard to legal authority for the action, including issues such as qualifications, pay, and suitability. The appointing officer makes final pre-appointment determinations regarding citizenship, veterans' preference, minimum and maximum age limits (where appropriate), suitability, qualifying experience and education. In the case of appointments and position change actions (for example, promotions), the appointing officer ensures that the position to which the employee is assigned has been established and properly classified.

**d. Criteria for selection of appointing officers.** Agencies must ensure that appointing authority, that is, the authority to approve and certify actions, is delegated only to persons whose training and experience enable them to review the background material on a proposed action and determine whether it meets the necessary legal and regulatory requirements. Approval of actions is a serious responsibility that should not routinely be assigned to clerical or other technical support personnel who may lack the necessary background and training to make the decision to approve or disapprove an action. A person who has not been a party to the recruitment, qualification, selection, and pay-setting processes on a

proposed action, and who lacks information as to how these determinations were reached, cannot and should not be expected

to decide whether the specific action meets legal and regulatory requirements.

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## Subchapter 2. Cancellations and Retroactive Personnel Actions

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### 2-1. Coverage

These instructions cover cancellations and retroactive actions to implement decisions, as defined below. These instructions also apply when the employing agency identifies, outside of the decision process, an erroneous or improper personnel action that needs corrective action. Nothing in these instructions, however, authorizes or permits an agency to enter into a settlement agreement that is contrary to the civil service laws or regulations.

### 2.2. Definitions.

**a. A decision** as referred to in this chapter is: (1) a Court Order; or (2) a decision or order or a settlement agreement reached under the rules and regulations of the Merit Systems Protection Board (MSPB), the Equal Employment Opportunity Commission (EEOC), the Federal Labor Relations Authority (FLRA), the Office of Personnel Management (OPM), or the agency; or (3) an arbitral award, or a decision of an agency head which adopts the recommendations of an agency fact finder; or (4) a settlement agreement between an individual and an agency under circumstances other than those above.

**b. A cancellation** cancels or rescinds an earlier action that was improper, that was proper but contained references to an improper action, or that contained remarks that are inappropriate or erroneous and that should not have been recorded.

**c. A retroactive action** is one which is prepared or processed after the pay period in

which it is to be effective. Retroactive actions may be either replacement actions or newly required actions.

**d. A replacement action** is one which takes the place of or replaces a canceled Standard Form 50 when:

- Another action is being substituted for the original action (for example, when a 15-day suspension is substituted for a 30-day suspension); or
- The original action was canceled because it contained erroneous information and/or inappropriate remarks, but was otherwise a valid action; or
- The original action was canceled because it in some way reflected the effects of another personnel action that was also canceled (for example, a change to career tenure that reflects the wrong grade because a previous change to lower grade was canceled).

**e. A newly required action** is a personnel action that is required as a result of a decision or as a result of a cancellation. For example, if a reassignment action was canceled and a replacement action issued for promotion, there might also be the need to issue an action for a within-grade increase for which the employee would have been eligible due to the retroactive effective date of the promotion.

**f. Improper service or improper assignment** is service or an assignment performed in a position or positions to which a decision says the employee should not have been assigned or non-Federal service performed during a period of improper separation from Federal service.

**g. Void action** is an action which should never have occurred because of an absolute statutory bar to it, such as appointment of a male who has not registered, as required, for Selective Service, or because the employee was guilty of fraud in regard to the action or deliberately misrepresented or falsified a material matter.

**h. OPF (Official Personnel Folder).**

The official repository of records and reports of personnel actions effected during an employee's civilian government service and documents and papers required in connection with such actions.

**i. EPF (Employee Performance File).**

Performance appraisals and related records maintained in either a separate envelope in the Official Personnel Folder, a separate folder (in whatever office the organization designates), in a supervisor's work folder, on microfiche, in an automated personnel record system, or in any combination of such records maintenance systems. Whatever system or combination of systems the agency chooses constitutes that agency's Employee Performance File System.

**j. Subject File.** A file, separate from the Official Personnel Folder or Employee Performance File, in which material is filed and retrieved by subject or topic, rather than by employee. Examples of subject files found in a personnel office include grievance files and adverse action files.

**k. An Interim Appointment, Promotion, Within-grade Increase, or Other Interim Action** provides relief for an employee who prevails in an initial action before the Merit Systems Protection Board (MSPB). It provides an employee with income during the continuation of the appeal process following the initial MSPB decision.

### **2-3. Reasons for Cancellations and Retroactive Actions.**

Cancellations and retroactive actions are most frequently processed to implement decisions resulting from the settlement or resolution of a complaint, a grievance, or an appeal of an adverse action or an arbitral award. They may also be processed when an appointing officer discovers an action the current agency or another agency effected in error (for example, a within-grade increase for an employee who has not completed the required waiting period due to excess time in nonpay status) or an action which should have been processed and was not.

### **2-4. Implementation of Decision.**

**a. Decisions of the Merit Systems Protection Board (MSPB.)** The Whistleblower Protection Act of 1989 (Public Law 101-12) authorizes interim relief for employees who prevail in their initial appeals of adverse actions, performance-based actions, or other appealable actions before MSPB. Any such interim relief ordered by MSPB is effective on the date the initial decision is issued (see 5 CFR 772.102, 5 CFR 531.414, and Figure 32-3 of this **Guide**). Stays of personnel actions (including retroactive stays) ordered by MSPB where an individual files an individual right of action (IRA) appeal under the Act, claiming reprisal for having engaged in protected activity, are not considered interim relief.

**b. Other Decisions.** An agency should not delay initiating corrective action in accordance with a decision unless it has sought and been granted a stay. Once the appeals, if any, have been exhausted, the decision must be implemented.

## 2-5. Decisions that Do Not Require Personnel Actions.

a. Whether it is prepared in paper or electronic format, a Notification of Personnel Action, Standard Form (SF) 50 is the official record that a personnel action has been effected. The employee's payroll records (including retirement, tax, and thrift savings records), are based on and reflect the salary or pay documented on the employee's SF 50. As a result, when an agency prepares a retroactive, a replacement, or a newly-required personnel action (SF 50), the employee who is the subject of the action is entitled to receive the salary or pay shown on that SF 50 (minus the appropriate deductions.) Therefore, when a decision states that an employee is to receive *no* salary or pay for a particular appointment, position or assignment, the agency should *NOT* prepare an SF 50. An SF 50 should be prepared *only* in those instances where the employee is to receive pay and benefits as a result of the action documented on that SF 50.

b. When a decision by a third party makes a monetary award to an employee but does not address personnel actions, or change the individual's appointment status, position, or pay (for example, if a decision merely awards a payment of damages but does not require reinstatement of the employee), no personnel actions are to be processed. Send a copy of the decision to the payroll office and place a copy in the appropriate appeal or other subject file. Do not place a copy of the decision in the employee's Official Personnel Folder.

## 2-6. Decisions That Require Preparation of Personnel Actions.

ABSENT AN APPEAL TO A FEDERAL COURT, THE DECISION OF A FINAL ADMINISTRATIVE AUTHORITY IS FINAL AND BINDING. An agency should make every effort, in complying with administrative and judicial decisions, to also comply with applicable civil service rules and regulations. For example, if a decision requires that a new position be established at a particular grade level, the agency establishes a position that would be justified under the position classification standards. In these cases, the employee's SF 50 shows the title, series, and grade directed by the decision and position description number assigned by the agency to that "position." A copy of the decision is placed in the agency's position classification files along with the position description itself. The position description should reflect duties and responsibilities which are in accord with the title, series, and grade directed by the decision. A copy of the decision is not placed in the employee's Official Personnel Folder; instead, it is placed in the appropriate subject file.

## 2-7. Responsibilities of the Agency That Prepares Personnel Actions to Implement a Decision or Take Corrective Action.

a. **Determining the Agency That is Responsible for Preparing Personnel Actions.** If the employee concerned is currently employed in the Federal Government, the current employing agency is responsible for preparing and distributing the Notification of Personnel Action (Standard Form 50) to implement a decision or take corrective action. The current

employing agency is also responsible for adding documents to or deleting documents from the employee's Official Personnel Folder in accordance with the instructions in this chapter. (When the decision orders the employee moved to another agency, the agency in which the employee is employed on the date of the decision is considered "the current employing agency" for the purposes of these instructions.) If the employee has left the Federal service or is employed in an agency which is not subject to title 5 of the United States Code, the agency against whom a decision is rendered or who is a party to the settlement agreement is responsible for preparing and distributing the personnel actions and taking the necessary actions to implement the decision. (The requirement that the current employing agency prepare the paperwork does not mean that the current employing agency must effect/pay a retroactive benefit.)

**b. Responsibilities.** The agency that prepares personnel actions to implement a decision or take corrective action is responsible for:

(1) Carrying out any specific instructions in a decision which require the addition or removal of specific documents from the employee's Official Personnel Folder or that direct the preparation and documentation of personnel actions. (Remember, when a decision by a third party awards a payment of damages but does not require a retroactive personnel action, such as a retroactive appointment or promotion, no personnel action is prepared and nothing concerning the payment or decision is placed in the employee's Official Personnel Folder.)

(2) Determining which actions must be canceled, which must be replaced, and what actions are newly required. Actions to be canceled and replace include those which

would have occurred anyway but which carry information regarding the improper assignment, for example a life insurance change which carries references to an organization to which the employee was improperly assigned.

(3) Insuring the reasons for cancellation are explained on the cancellation action and that the retroactive action and related documents in the Official Personnel Folder contain no reference to the reason the action is being processed retroactively - that is, no reference to the error, the grievance, or complaint that is the reason for the retroactive action being processed. The authority cited on a retroactive action is the authority that would have been cited if the action had been processed on or before its effective date. If, on the effective date of the action, the agency would not have had an appropriate authority to take the necessary action (for example, a decision orders the employee assigned to a position in a series for which standards were not issued until a year after the effective date), "Reg. 250.101" is cited as the authority. This is a general "do-what-the-decision-says" authority and its use avoids the need to cite a specific decision, Court Order, or other document which would identify more specifically the employee's original complaint and result in irrelevant information being placed on the action and in the Folder. This protects the employee's privacy and the usual intent of decisions.

(4) Distributing and filing copies of the actions prepared to implement a decision, or take corrective action including:

(a) Removing each canceled action and all its supporting documents (including Standard Forms 52) from the employee's Official Personnel Folder and filing them in the appeal or other appropriate subject file,

along with the Official Personnel Folder copy of the Cancellation action. Retain the actions as long as the subject file is retained; consult the National Archives and Records Administration (NARA) Records Schedule to determine how long a particular file must be kept.

(b) Sending to each prior Federal employer the payroll copies of cancellations, retroactive action, and replacement actions for the period during which the employee was on the rolls of that agency, along with a letter explaining why the actions were processed or a copy of the decision which required the actions. This will enable the prior employer to make appropriate pay adjustments and to take any other actions necessary to complete the corrective process or implement the decision.

(5) Advising the employee in writing that he or she may request a transcript of service be placed in his or her Official Personnel Folder to document the positions to which improperly assigned and any job-related performance awards earned. (See sample letter and transcript in Figure 3-3.)

(6) Counseling the employee on the steps the agency will take to implement the decision and counseling him or her on the advantages/disadvantages of placing in the Official Personnel Folder a record of the positions to which improperly assigned. (Figure 3-2 contains a chart showing the manner in which this service may be credited for various purposes.)

(7) Advising the employee whose Official Personnel Folder contains an application/resume documenting improper service of the need to prepare a new application/resume if he or she does not wish to have improper service documented in his or her Folder.

(8) Placing in the employee's Folder the

transcript of service if he or she so requests (see paragraphs (5) and (6)) or a corrected application/resume in lieu of one which describes improper service (see paragraph (7).)

(9) Deleting all references to the improper service from the records of training and incentive awards earned during the period of improper assignment. (Follow agency instructions to correct the records. Copies of any erroneous records are filed with the decision and cancelled actions in the appropriate subject file.) Note that while references to improper assignments must be deleted, the employee keeps monies received for incentive awards (such as cash awards), as long as the improper assignment was not the result of fraud or a void action.

(10) Insuring that records of Federal Employees' Group Life Insurance and Federal Employees' Health Benefits Program enrollment agree with the employment record resulting from implementation of the decision.

(11) Insuring that any necessary changes to records in the agency's Employee Performance File (EPF) system are made, following the instructions in title 5 of the Code of Federal Regulations, part 293.

(12) Insuring that back pay awards are computed in accordance with title 5 of the Code of Federal Regulations, part 550, subpart H.

(13) Following instructions issued by the Office of Personnel Management's Retirement and Insurance Group to prepare/alter the employee's Standard Form 2806, Individual Retirement Record or Standard Form 3100, Individual Retirement Record.

(14) Following guidance in title 5 of the Code of Federal Regulations, part 630 to resolve questions regarding leave.

### **2-8. Counseling and Advising Employees on Documentation of Experience Gained During Period of Improper Assignment.**

When the employee was improperly assigned or was employed outside the Federal Government as a result of the action addressed by the decision, the person who counsels the employee regarding implementation of the decision should discuss with him or her the potential value for qualifications and career advancement purposes of the experiences gained during the period of improper assignment.

For example, if a typist worked in another agency as a secretary while appealing a reduction-in force separation, the secretarial duties could be qualifying for other positions in the Federal Government, and it could be advantageous to have this experience noted in the Folder. On the other hand, if the typist worked as a cashier at a local variety store while appealing a separation, he or she might see no value to this experience being recorded in the Folder.

The employee may cite the experience on a future application whether it is recorded in the Official Personnel folder or not. The advantage of recording it in the Folder is that it will be a matter of record there if the Folder is used to identify job candidates or to rate or rank candidates. The disadvantage, of course, is that the presence of this record of service in the employee's Folder serves as a "flag" to a reviewer that the employee complained, grieved, or filed an appeal and may draw unwelcome attention to the original problem.

The decision as to whether or not to record the service in the Folder should be made by the employee on the basis of how valuable he or she feels the experience

gained while improperly assigned will be to his or her career advancement plans. Use of dual Standard Forms 50, those which were originally prepared as well as the ones prepared to implement the decision, provides a confusing record of the two periods of service. If the employee chooses to have the period of improper service recorded, the transcript of service provides the most practical means of doing so. The counsellor should explain to the employee that he or she is being asked to decide about the record at this time in order to establish a complete record of how the decision is implemented and to insure that after the decision is implemented the Official Personnel Folder reflects as nearly as possible the way in which the employee would like to have his or her service history recorded.

### **2-9. Advice to Employee Regarding Waiver or Overpayment of Pay.**

Section 5548 of title 5, U.S. Code, provides for waiver of claim of overpayment of pay to an employee when collection of the overpayment would not be in the best interest of the United States. In the relatively few instances where implementation of a decision results in the employee having received an overpayment, he or she should be advised that the provisions of 5 U.S.C. 5584 may apply.

### **2-10. ADP Records and Systems.**

The agency that implements a decision is responsible for taking whatever action is necessary to insure that its automated personnel records and systems reflect only the "corrected" employment history and that all references to cancelled actions have been deleted from those records and systems.

**2-11. Questions Regarding Unusual Cases.**

Refer questions regarding the manner in which personnel actions should be processed to implement decisions to the Assistant Director for Workforce Information, Office

of Personnel Management, Washington, DC 20415-6000. Refer questions regarding legal issues that must be resolved before actions to implement a decision can be processed to the Office of Personnel Management's General Counsel for resolution.

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## Subchapter 3. Electronic Forms and Signatures

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### 3-1. Approvals to Use Electronic Personnel Forms

**a. Definitions.** An “electronic form” encompasses both the format and the data element content of a form when stored on a digitized computer processible medium, including magnetic and optical disks, magnetic tape, or any other computer accessible storage device. As used here:

(1) “Form” and “electronic personnel form” mean only personnel-related forms.

(2) “Electronic form” includes both forms originally created in an automated process as well as forms made digitally processible by the use of optical scanning equipment.

**b. Using automated technology to create an electronic personnel form.** The Federal Information Resources Management Regulation 201-9.202-1, Bulletin 3, Revision 1, “Exceptions to Standard and Optional Forms,” authorizes agencies to create electronic personnel forms without obtaining prior approval from the General Services Administration (GSA) or the Office of Personnel Management *provided* the electronic version is an exact reproduction of *and* is printed on the same size and color paper as the current approved edition. Additions to or deletions of data from the current form, changes in sequence or format of data require prior approval. Send requests for approval through your agency's Standard and Optional Forms Liaison to:

**OPM Reports and Forms Manager  
Office of the Chief Information Officer  
U.S. Office of Personnel Management  
Washington, DC 20415-7900**

The Office of Personnel Management's

Assistant Director for Workforce Information is the program official responsible for:

- Standard Form 50, Notification of Personnel Action;
- Standard Form 52, Request for Personnel Action;
- Standard Form 61, Oath of Office;
- Standard Form 75, Request for Preliminary Employment Data; and
- Standard Form 144, Statement of Prior Federal Service.

Agencies may expedite approvals by submitting a copy of any requests concerning these forms to:

**U.S. Office of Personnel Management  
Office of Merit Systems  
Oversight and Effectiveness  
Assistant Director for  
Workforce Information (MW)  
1900 E Street, NW. (Room 7439)  
Washington, DC 20415-6000.**

Exception requests should include a sample copy of the form. Each request should also describe how the criteria and procedures in the remainder of this chapter will be met.

**c. Approval to use electronic forms** does not automatically include approval to destroy any paper records that are created. Destruction of source paper records that are converted to electronic media in advance of the disposition schedules in National

Archives and Records Administration General Records Schedule #1, Civilian Personnel Records, must be approved by the Office of Personnel Management and the National Archives and Records Administration prior to actual destruction. Destruction of electronic records covered by Office of Personnel Management authorities must be in accordance with General Records Schedule #1; or by specific agreement with the Office of Personnel Management. The National Archives and Records Administration is the final authority on records disposition schedules. Assistance in interpreting General Records Schedule #1, or in developing record disposition schedules for civilian personnel records not currently covered by a General Records Schedule, may be arranged by contacting:

**U.S. Office of Personnel Management  
Office of Merit Systems  
Oversight and Effectiveness  
Assistant Director for  
Workforce Information (MW)  
1900 E Street, NW. (Room 7439)  
Washington, DC 20415-6000.**

### **3-2. Criteria for Use of Electronic Forms.**

**a.** An agency that stores Official Personnel Folder, Employee Medical Folder, or Employee Performance File forms electronically must store them in such a way that, when a paper copy is needed, that copy looks essentially like the original approved Office of Personnel Management, standard, or agency form.

(1) The electronic reproduction must be complete, containing all instructions and questions that appear on the approved form. The wording and punctuation of all items and instructions must be exactly the same as

the current version of the form, and the sequence, format and spacing of each item on the form must be reproduced to the highest degree possible. For multi-page forms, each item must print on the same page in approximately the same location as on the original form, but each page may be printed on a separate sheet. The reproduced copy must be printed in black ink on letter size white paper.

(2) The agency must be able to produce a paper copy, regardless of the date on which it was originally prepared, when:

(a) an employee requests a copy of one or more records in his or her Official Personnel Folder, Employee Medical Folder, or Employee Performance Folder; or

(b) an employee separates from Federal service or moves to an agency that does not use electronic forms; or

(c) the Office of Personnel Management requests a copy for evaluation or other purposes.

(3) Electronic versions of Office of Personnel Management-controlled forms (for example, the Standard Form 50 and Standard Form 52) must use only the data element coding contained in **The Guide to Personnel Data Standards.**

**b.** There must be strict controls on who may originate a document electronically, who may cancel or change it, and who has access to it.

**c.** The agency must certify that all National Archives and Records Administration disposition schedules are/will continue to be met by the electronic forms system.

**d.** Since automated media have vulnerabilities to inadvertent destruction not applicable to paper records, the agency must have a system (processable media or paper) to produce back-up records. The Office of

Personnel Management recommends that a back-up file be in a separate computer environment from the primary system — off-site if appropriate.

e. The system must be able to amend, delete, or add forms, and to add data to individual forms when required to respond to a Privacy Act amendment request or to comply with a settlement agreement or court order.

f. In addition to being able to produce paper copies of individual forms upon request (see paragraph 3-2a(2)), an agency must be able to list each existing, electronically-prepared Standard Form 52 and Standard Form 50, by data subject, for at least two years after the date that the electronic form was executed.

g. The agency must retain all original signed designation of beneficiary *paper* forms for the Civil Service Retirement System (CSRS), Federal Employees Retirement System (FERS), and Federal Employee's Group Life Insurance (FEGLI) program. (Under current procedures, only the signed originals are acceptable when a claim is filed.)

### 3-3. Authentication Procedures.

a. Electronic authentication codes must be unique to the individual and defined only for those whose positions authorize and require them to initiate, sign or clear a personnel action.

b. When a person leaves a position for which an authorization code has been issued, the authorization must be cancelled immediately.

c. For each form that was cleared or signed electronically, there must be an audit trail to show *when* and *who*:

(1) signed/approved,

(2) cleared,

(3) input data to, and/or

(4) changed data on the form.

d. A complete list of authentication codes and the names and titles of the individuals to whom they have been assigned must be available to Office of Personnel Management evaluators for at least two years after the date of a personnel action. The list must include names, titles, and codes designating persons for whom authorizations have been cancelled, as well as current authorizations.

e. The individual with delegated appointing authority remains the responsible official for insuring that authentication procedures and the personnel actions to which they lead are proper and meet the requirements in law.

### 3-4. Electronic Signatures.

a. A personnel action is the official record of employment and authorization of pay to the employee. The action must be approved on or before its effective date; the approval may be documented by a “signature” in either Part C-2 of the Standard Form 52 or in block 50 of the Standard Form 50. Because effective dates and approvals of personnel actions must be able to withstand administrative and legal challenge, any electronic approval signature system used in Part C-2 of the Standard Form 52 or in block 50 of the Standard Form 50 ***must be approved by the Office of Personnel Management.***

b. To be approved, an electronic signature system must include the following features:

(1) The electronic signal or symbol adopted as the approving official's signature must be unique to the signer, that is, it must be initiated by methods that distinguish the specific approving official, and it must be under his or her sole control.

(2) The electronic signature must be capable of being verified and must be linked to the data being transmitted, including the approval date (block 49 of the Standard Form 50, Notification of Personnel Action). Control procedures must be in place to insure the authenticity of data on the form, including the electronic signature. Such controls must provide reasonable assurance that deliberate or inadvertent manipulation, modification, or loss of data on the electronically stored form is detected. (For additional information, see Federal Information Processing Standard (FIPS) 113, Computer Data Authentication, and FIPS 186, Digital Signature Standard, dated 12/1/94).

(3) The approving official's name and title

must be printed on any paper document that is generated for the employee or for the Official Personnel Folder.

c. Requests for prior approval to use an electronic signature, in lieu of a personally signed paper Standard Form 50, Notification of Personnel Action, or Standard Form 52, Request for Personnel Action, must be submitted to:

**U.S. Office of Personnel Management  
Office of Merit Systems  
Oversight and Effectiveness  
Assistant Director for  
Workforce Information (MW)  
1900 E Street, NW. (Room 7439)  
Washington, DC 20415-6000.**

## Subchapter 4. The Entry on Duty Process for New Employees

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### 4-1. Appointments to Federal Civil Service Positions.

Except for those described in Table 3-B, appointments may not be effective prior to the date of approval by the appointing official. Additionally, appointments to positions in the civil service are effective only from date of acceptance and entrance on duty, unless a later date is stated on the Standard Form 52, Request for Personnel Action, or other approving document.

### 4-2. Date of Acceptance.

Acceptance may be shown by formal acceptance, by entry on duty, or by taking the oath of office. Date of acceptance is the date the applicant accepts, either orally or in writing, the appointment offer. When the employee reports for duty or takes the oath of office, acceptance of the position is acknowledged on that date even though a formal acceptance is not given by the employee.

### 4-3. Entrance on Duty (EOD).

**a.** Entrance on duty is the process by which a person completes the necessary paperwork and is sworn in as an employee.

**b. Appointment Documents.** The job aid, **Appointment Documents and Information**, lists materials that a new employee will need. Supplement that list with any documents required by your agency. If necessary, assist the appointee in completing the forms. Encourage the appointee to keep all copies of the personnel and payroll notices he or she receives from the agency.

### c. Oath of Office.

As part of the entry-on-duty process, the employee takes the oath of office. The Standard Form 61, Appointment Affidavit, contains the oath of office (part A) required by 5 U.S.C. 3331, the affidavit on striking against the Federal Government (part B) required by 5 U.S.C. 7311, and the affidavit on purchase and sale of office (part C) that 5 U.S.C. 3332 requires officers to complete.

(1) The form is completed and filed on the right side of the Official Personnel Folder when the employee is first appointed in the Federal Government and for each subsequent new appointment in any agency (including appointment by transfer, reinstatement, and restoration). A Standard Form 61 is not required when there is a change in an employee's status (such as a conversion to a new appointment) as long as service is continuous in the same agency. A new Standard Form 61 is not required when the employing office or agency changes as a result of a transfer of function, either. However, an agency may request that the form be completed even if it is not required.

(2) The oath and affidavits are executed when the appointee enters on duty and are given by a notary or by a Federal official or employee of your agency who has, or has been delegated, responsibility to administer oaths (see 5 U.S.C. 2903). United States citizens must swear to or affirm the oath of office and the affidavit in part B; aliens must swear to or affirm the affidavit in part B. Persons appointed as "officers" must swear to or affirm the oath of office and the affidavits in parts B and C. ("Officers" are justices and judges of the United States and individuals who are required by law to be appointed by the President, a court of the

United States, the head of an Executive agency, or the Secretary of a military department; persons appointed as “officers” are invested by law with authority delegated from the heads of departments or independent establishments.)

(3) When an appointee elects to affirm rather than swear to the affidavits, the word “swear,” wherever it appears above the appointee’s signature, and the words “So Help Me God” may be stricken from the form. The jurat at the bottom of the form must be signed by each appointee and completed by the person who administers the oath or affidavits.

(4) The Civil Service oath of office in part A contains the phrase “defend the constitution.” In the case of *Girouard vs. United States*, 328 U.S. 61 (1946), the U.S. Supreme Court held that the oath of allegiance to the United States of American (taken by all candidates for citizenship) “does not in terms require that they promise to bear arms.” Explain to any appointee who questions the meaning of, or objects to, that part of the oath that the “defend the Constitution” phrase in the Civil Service oath of office does not imply that the appointee would be expected to bear arms.

(5) Obtain an original and a copy of the Standard Form 61 when the oath and affidavits are executed by cabinet officers and heads of independent establishments, agencies, and offices. After the oath has been taken and the form executed, send the copy to the Department of State.

**d. The Standard Form 144.** The Statement of Prior Federal Service (Standard Form 144) should be completed by each employee new to your agency. It identifies any prior service for which records must be located.

**e. Personnel Folders.** Follow instructions in **The Guide to Personnel Recordkeeping** to establish a personnel folder for each new employee or to obtain the existing Folder for each employee with prior Federal Service. Use the **Guide** to file correctly the forms completed during the entry-on-duty process.

#### **4-4. Obtaining Personnel Information from the Prior Employing Agency.**

**a.** If the person is being appointed without a break in service from another Federal agency, certain information is needed to process the appointment action. However, the Official Personnel Folder is not usually available for immediate review by the gaining office. In such cases, the information needed for processing the personnel action may be obtained by using the Standard Form 75, Request for Preliminary Employment Data. Personnel information provided on the Standard Form 75 can help prepare an appropriate appointment package for when the candidate enters on duty.

**b.** When a Standard Form 75 is needed:

(1) Contact the personnel office that has the person’s Official Personnel Folder. To help you find the correct office, ask the appointee where the folder is kept. The information for completing the Standard Form 75 may be received through a telephone call or the form may be mailed to the prior employing office.

(2) Refer the completed Standard Form 75 to the personnel specialist for review and then copy any needed data from the Standard Form 75 onto the Standard Form 52, Request for Personnel Action.

(3) File the Standard Form 75 received from the losing agency according to >agency instructions<.

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**Job Aid****Appointment Documents and Information**

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**Introduction**

Regardless of whether your agency uses a reappointment package, a type of electronic forms processing, or entry-on-duty orientation session, new employees must complete certain documents and should receive certain employment information.

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**Documents  
for all new  
employees**

All new employees must complete the following:

- **Standard Form 61, Appointment Affidavit.**  
Refer to section 4-3c of this chapter for instructions.
- **Optional Form 306, Declaration of Federal Employment.**  
Check with your agency security office for requirements on completing this document.
- **Standard Form 144, Statement of Prior Federal Service.**  
Since applications and resumes may include only that employment history relevant to the position for which appointed, information provided on the Standard Form 144 will help in determining whether personnel records need to be located.
- **Statistical data** for race, national origin, and handicapping conditions.

Standard Form 181, Race and National Origin Identification. Do not use the Standard Form 181 for employees in Hawaii; use the Office of Personnel Management Form 1468, Race and National Origin Identification, instead.

Standard Form 256, Self-Identification of Handicap.

Refer to Chapter 4 of this **Guide** for instructions on entering these data into your agency's automated personnel system.

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*Continued on next page*

**Job Aid****Appointment Documents and Information, continued**

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**As appropriate**

When applicable, employees must complete certain documents from which employment eligibility is verified, including:

- **Form I-9, Employment Eligibility Verification.** Refer to the Immigration and Naturalization Service's Handbook for Employers and 8 CFR, part 274a for completing and retaining the Form I-9.
  - **Applicant's statement of Selective Service registration status.** When candidate is a male whose year of birth is 1960 or later, failure to register may be basis for bar from civil service employment. Refer to 5 CFR 300.705 for instructions.
  - **Statements of Employment and Financial Interests.** Appointees to positions at high grade levels in some agencies and appointees to some positions in agencies that have regulatory responsibilities, may be required to submit statements of financial holdings or of investments. Follow your agency's instructions.
  - **Agency regulations regarding employee conduct.** Follow your agency's instructions for any requirements used to certify that new employees are familiar with the agency's regulations.
- 

**For certain appointments**

Depending on the type of appointment, the employee may need to complete documents for the following.

- **Civil Service retirement coverage.** Refer to the **CSRS and FERS Handbook for Personnel and Payroll Offices**, supplemented by Benefits Administration Letters, for instructions.
  - **Federal Employees Health Benefits Program.** Refer to the **Federal Employees Health Benefits Handbook for Personnel and Payroll Offices** and Benefits Administration Letters to determine the employee's eligibility for coverage and required documents.
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*Continued on next page*

**Job Aid**

**Appointment Documents and Information, continued**

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**For certain appointments continued**

- **Federal Employees Group Life Insurance Program.** Refer to **The Federal Employees Group Life Insurance - A Handbook for Employees, Annuitants, Compensationers and Employing Offices** and Benefits Administration Letters to determine the employee's eligibility for coverage and required documents.
  
- **Payroll related documents.** Contact your payroll office to determine what forms should be provided to new employees upon entry on duty for tax withholding, allotments, direct deposit of payroll check, and savings bonds. Provide an employee new to your agency with a copy of Standard Form 1152, Designation of Beneficiary, Unpaid Compensation of Deceased Civilian Employee.

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**About rights and benefits**

Provide the new employee with information on his/her rights and benefits. Types of this information includes Office of Personnel Management or agency publications concerning:

- the Code of Ethics for Government Service,
- employee obligations,
- pay,
- employee's job and performance,
- promotion and incentive awards program,
- leave,
- rights and benefits (including the retirement system),
- safety, and
- health and life insurance.

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*Continued on next page*

**Job Aid****Appointment Documents and Information, continued**

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**Other benefits**

New employees should also be given information about the following benefits.

- **Unemployment Insurance benefits.** The Department of Labor requires that the following statement be given to each newly hired and rehired Federal employee:

“If you have applied for or have been receiving Unemployment Insurance benefit payments, it is your responsibility, under penalty of law, to notify the appropriate local office, in writing, to discontinue the issuance of Unemployment Insurance checks now that you are employed. Failure to notify the State agency can result in a penalty such as a fine, imprisonment, or both.”

- **Thrift Savings Plan**, including enrollment and designation of beneficiary forms, if employee will be eligible to participate in the plan.
  - **Designation of beneficiary** forms for any retirement system by which the employee will be covered.
- 

**Miscellaneous employment information**

Employees should be given information about local benefits or activities that they may find interesting, for example:

- **Information regarding the employee recreation association.** This is particularly important if parking facilities or other services are available only to recreation association members.
  - **Information regarding other agency-sponsored organizations** whose membership is open to all employees (Toastmasters, for example).
  - **Pay and leave chart** or calendar showing Federal holidays and paydays for the year.
  - **Information regarding credit union** and/or any banking facilities located at employee’s place of employment.
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*Continued on next page*

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**Job Aid**

**Appointment Documents and Information, continued**

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**Miscellaneous  
employment  
information,  
continued**

- **Information regarding health services** available to employees.
  - **Any form the agency uses to record** name of person(s) to be notified in the event of an emergency, and application for, or instructions regarding how to obtain application for, employee identification card.
- 

**When  
package  
becomes  
bulky**

If you find that the appointment package is becoming too bulky, put in only the most important flyers and brochures (in addition to the forms the appointee must complete) and tell the employee about the others and where they can be obtained. This can be done by means of a list placed in the appointment package or through discussion during the entry-on-duty process.

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**Table 3-A. Setting Effective Dates**

<b>R U L E</b>	<i>A</i>	<i>B</i>	<i>C</i>
	<i>If</i>	<i>And</i>	<i>Then Effective Date May Be</i>
1	A list form of notice is used to document the action		No earlier than the effective date specified in the document that authorized the action.
2	Action is a noncompetitive conversion to career or career appointment	Conversion does not require the prior approval of the Office of Personnel Management	No earlier than the date on which employee met all of the requirements for conversion.
3		Conversion does require the prior approval of the Office of Personnel Management	No earlier than the date on which the Office of Personnel Management approved the conversion.
4	Conversion is to an appointment under which the employee will have fewer rights and benefits	Conversion is from an appointment in the competitive service to one in the excepted service	Any date after employee has: (a) been informed that, because the position is in the excepted service, it cannot be filled by competitive appointment and that acceptance of the proposed appointment will take the employee out of the competitive service; <i>and</i> (b) submitted a written statement that the employee is leaving the competitive service voluntarily to accept an appointment in the excepted service.

**Table 3-A. Setting Effective Dates (Continued)**

<b>R U L E</b>	<b>A</b>	<b>B</b>	<b>C</b>
	<i>If</i>	<i>And</i>	<i>Then Effective Date May Be</i>
5	Conversion is to an appointment under which the employee will have fewer rights and benefits	Conversion is not described in Rule 4	Any date after employee has: (a) been informed in writing of the conditions of employment under the new appointment; and (b) submitted a written statement that the employee is leaving previous employment voluntarily to accept conversion to the new appointment (statement should specify the type of appointment employee is leaving and the type the employee is accepting).
6	Action which is not described in Rules 1-5 requires prior approval of the Office of Personnel Management		No earlier than the date on which the Office of Personnel Management approved the action unless that approval specifies an earlier effective date.
7	Conversion is to a career or career-conditional appointment when employee's position is brought into the competitive service		No earlier than the date on which the position was brought into the competitive service.
8	Action requires an advance notice to the employee (for example, 30-day advance notice of decision on a proposed adverse action)		No earlier than the expiration of the notice period

**Table 3-B Effective Dates Set without Prior Approval of the Appointing Officer**

<i>R U L E</i>	<i>A</i>	<i>B</i>
	<i>If Action is</i>	<i>Then Effective Date Is</i>
1	Required by law, Executive order, or regulation	The date specified in the law, Executive order, or regulation (see Note 1 of this table).
2	Required by court action, settlement agreement, or arbitral award	The date specified in the action, agreement, or award (see Note 2 of this table).
3	Required by an Office of Personnel Management (OPM), Merit Systems Protection Board (MSPB), Equal Employment Opportunity Commission (EEOC), or Federal Labor Relations Agency (FLRA) decision	The date specified in the decision.
4	A death	The date of death shown on the death certificate
5	A resignation	The date set by the employee. Unless employee specifies otherwise, a resignation is effective at midnight.
6	A disability retirement	See instructions in Chapter 60 of <b>The CSRS and FERS Handbook</b> .
7	A mandatory retirement	The last day of the month in which the employee reaches the age and completes any length-of-service requirements for the retirement system under which he or she is covered. When employee had an earlier exemption from mandatory retirement, the retirement is effected on the day following the NTE date of the Continuance NTE action documenting that exemption (see Note 3 of this table).
8	A retirement that is not described in Rules 6 or 7	The date set by the employee, provided that on that date employee meets age and length of service requirements for the retirement system under which he or she is covered.
9	Change in tenure or appointment based on completion of service requirements for career or permanent tenure	The day following that on which the service requirement is completed

**Table 3-B. Effective Dates Set without Prior Approval of the Appointing Officer  
(Continued)**

RULE	A	B
	<i>If Action Is</i>	<i>The Effective Date Is</i>
10	Conversion to a competitive service appointment when an employee who has competitive status occupies an excepted service position that is brought into the competitive service	The date the position is brought into the competitive service.
11	Change in FEGLI	The date prescribed in 5 CFR part 87 and in <b>The Federal Employees Group Life Insurance Handbook</b>
12	Pay Adjustment to implement a new pay plan or to change the rates for an existing pay plan	The date set by the Executive order, Office of Personnel Management, or an agency issuance the established the plan or announced the rates.
13	Change to Lower Grade following a temporary promotion	The day following the NTE date of the temporary promotion <i>unless</i> the appointing officer approves another action.
14	Termination of Grade Retention	At the end of the two-year period of grade retention (for example, if grade retention begins 07-23-1994, the termination action is effective on 07-22-1996 at midnight).
15	Leave Without Pay (LWOP), <i>except</i> during a <b>Reduction-in-Force</b> notice period or for assignment to State or local government under the Intergovernmental Personnel Act	The date approved by the employee's supervisor (or other official designated by the agency) on the Standard Form 52.
16	Return to duty from LWOP or nonpay status	
17	Detail or Termination of Detail	
18	Change in Work Schedule	
19	Change in Hours for an employee with a part-time work schedule	

## NOTES:

1. When an effective date is not specified, the effective date set by the agency may be on or after the effective date of the law, regulation or Executive order.

2. When an effective date is not specified, the effective date set by the agency may be on or after the effective date of the court action, agreement or award.

3. 5 U.S.C. 8335 and 8425 require that the employee be notified at least 60 days in advance of the separation date. When the notice is not issued 60 days in advance, the employee cannot be separated, without his or her consent, until the last day of the month in which the 60-day notice expires.

**Figure 3-1. Comptroller General (GC) Decisions Concerning Effective Dates**

Topic	Decision Number(s)
Prior approval for appointment	18CG582 and 20CG267
Oath of office to be taken before employee can be paid	21CG817
Holiday pay when conversion action is involved	30CG334
Move to another agency	34CG428
Transfers where travel and transportation expenses are concerned	26CG862
Relation of effective date to entry on duty date	24CG150 and 45CG660
Prior approval for promotion	3CG559 and 9CG20
Promotion that follows a detail	24CG563
Salary change resulting from allocation or reallocation of a position	30CG156
Compensation for services rendered prior to appointment	8CG582 and 20CG267
Compensation for service during an interval between appointments	17CG323

**Figure 3-2. How and When to Credit Service for Qualifications and Civil Service Benefit Purposes**

Proper for which credit is given	Period during which employee served improperly when the action is allowed to stand		Period in which person served but was not appointed (See Note 2 below)	Period covered by decision ordering person placed retroactively in a position/appt. In which they have not served
	Credit from effective date of improper action (See Note 1 below)	Credit from date the improper action is corrected		
Qualifications (experience)	yes	no	yes	Credit as if employee had actually served in the position/ appointment
Reinstatement eligibility	no	yes	no	
Time-in-grade				
Career Tenure				
Completion of initial appointment or supervisory/managerial probation	yes	no		credit time employee actually served on the position/appt. for which the probation is required
Service Date-Leave				Credit as if employee had actually served in the position/ appointment
Service Date-Reduction-in-Force				
Service Date-Retirement				
Within Grade Increase waiting period				
Leave Accrual				
Health Benefits				
Life Insurance				
Workers' Compensation				
Service - Severance Pay				

NOTES:

1. When the appointment is void (for example, made in violation of an absolute statutory prohibition or the employee was guilty of fraud in regard to the appointment or deliberately misrepresented or falsified a material matter). NO credit may be given for service in the appointment.
2. Person is entitled to be paid for service performed.

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**Figure 3-3. Sample Letter to an Employee Who is the Subject of a Decision**

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(Employee's address)

Dear (employee)

As part of the implementation of (cite settlement agreement, order, arbitral award or decision, and its date), we must cancel and remove from your Official Personnel Folder (OPF) the Notifications of Personnel Action and the related documents and /or records of non-Federal employment, for each affected personnel action or non-Federal job. This will leave you with a "clean OPF," one which contains no references to the period of improper service or non-Federal employment.

Even though the jobs, training courses completed, or awards earned during the period you were improperly assigned or employed outside the Federal Government are not shown in your OPF, you may, of course, list them on future applications when you think the experience, etc., will be benefit to you.

The enclosed transcript of service lists your service during the period when you were improperly assigned or employed outside the Federal Government. If you think you will want to have this service recorded in your OPF to use for qualifications and career advancement purposes in the future, you can authorize the placement of the transcript in your OPF.

Please review the transcript and decide whether you want it placed in your OPF; (Name and telephone) will discuss with you the advantages of recording this period of service in your OPF. After you have made your decision, sign and date the appropriate statement below, and return the signed original of this letter to me by (date). If you elect to have the transcript placed in your folder, the original copy should be returned along with the copy of this letter containing your signed statement.

Sincerely,

(name, title, and agency of appointing officer who will sign or authenticate the cancellation actions)

Enclosure: Transcript of Service

**Figure 3-3. Sample Letter to an Employee Who is the Subject of a Decision (continued)**

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I have been counselled regarding the advantages and disadvantages of placing my Official Personnel Folder (OPF) a transcript of service covering the period from (date) to (date) when I was improperly assigned or employed outside the Federal Government, and

- I believe that my work experience during the period when I was improperly assigned or employed outside the federal Government may be of value in the future. Therefore, I request that the enclosed transcript of service, which summarizes that service, be made a permanent part of my OPF.
- I do not believe that my work experience during that period when I was improperly assigned or employed outside the Federal Government will be of value in the future. Therefore, I request that no record be placed in my OPF to describe my actual service during that period. I understand that if I change my mind in the future, records of the assignments on which I actually served may no longer be available to place in my OPF.

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(name)

---

(date)

---

**Figure 3-3. Sample Letter to an Employee Who is the Subject of a Decision (continued)**

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(agency letterhead)

**TRANSCRIPT OF SERVICE**

Through no fault of his (her) own, (name of employee) was improperly assigned to the position(s) listed below and/or employed as described below for the period(s) indicated.

<b>Position</b> (include title, series, and grade, if Federal service)	<b>Agency/employer</b>	<b>Dates</b> (From/To)
--	------------------------	---------------------------

This service will be credited for qualifications and civil service benefit purposes as described in Chapter 3, Figure 3-2, of **The Guide to Processing Personnel Actions**.

/S/

(name, title, agency, and Personnel Office Identification of appointing officer who will sign or authenticate the cancellation actions.)

(Type the following statement:)

**THIS DOCUMENT IS TO BE FILED PERMANENTLY ON THE RIGHT SIDE OF THE EMPLOYEE'S OFFICIAL PERSONNEL FOLDER.**

Page 3-36 is blank.

**Table 9-D. Appointment Based on Service in the Legislative or Judicial Branch of Government or Under Another Merit System**

<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>If Selection is Based on</i>	<i>And the Person</i>	<i>And the Appointment is</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 1 of this table)</i>
1	Service with the Federal Aviation Administration	Is moving from the other merit system without a break in service after completing at least 1 year of continuous service.	Career	100	Career Appt	BNK	CS Rule 6.7--FAA Agr
2			Career-Conditional	101	Career-Cond Appt		
3	Service under the Canal Zone Merit System or the Panama Canal Employment System under a CZ or a CA career or career-conditional appointment	Is not employed by your agency	Career	100	Career Appt	K1M	Reg. 315.601
4			Career-Conditional	101	Career-Cond Appt		
5		Is already employed by your agency	Career	>500<	>Conv to< Career Appt		
6			Career-Conditional	>501<	>Conv to< Career-Cond Appt		
7	Service with the Nuclear Regulatory Commission (NRC)	Is moving from the other merit system without a break in service or is being reappointed within one year following involuntary separation without personal cause	Career	100	Career Appt	BKM	CS Rule 6.7--NRC Agr
8			Career-Conditional	101	Career-Cond Appt		

**Table 9-D. Appointment Based on Service in the Legislative or Judicial Branch of Government or Under Another Merit System (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>If Selection is Based on</i>	<i>And the Person</i>	<i>And the Appointment is</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 1 of this table)</i>
9	Service with the Tennessee Valley Authority (TVA)	Is moving from the other merit system without a break in service or is being reappointed within one year following involuntary separation without personal cause (including resignation after receiving advance notice of impending reduction in force)	Career	100	Career Appt	BBM	CS Rule 6.7-TVA Agr
10			Career-Conditional	101	Career-Cond Appt		
11		Is being converted to another appointment in your agency within one year following involuntary separation from the TVA without personal cause (including resignation after receiving advance notice of impending reduction in force)	Career	500	Conv to Career Appt		
12			Career-Conditional	501	Conv to Career-Cond Appt		

**Table 10-B. Appointments Not to Exceed (See Note 1 of this table)**

<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>If Appointment is</i>	<i>And the Person</i>	<i>And</i>	<i>Then Nature of Action Code is</i>	<i>Nature of Action is</i>	<i>Authority Code is</i>	<i>And Authority is (See Notes 2 &amp; 3 of this table)</i>	
1	Reserved							
2	Reserved							
3	Based on selection from a certificate issued from a civil service register maintained under delegation of competitive examining authority from the Office of Personnel Management or a special examining unit authorized by the Office of Personnel Management	>Is not employed by your agency<		115	Appt NTE (date)	BWA	OPM Delegation Agr (no.), (name of installation issuing certificate), Cert No. __	
4		>Is already employed by your agency<		515	Conv to Appt NTE (date)			
5		Is not an employee of your agency		115	Appt NTE (date)	AYM		Direct Hire Authority (Cite OPM authority and date)
6		Is already employed in your agency in a different position or under a different appointing authority		515	Conv to Appt NTE (date)			

**Table 10-B. Appointments Not to Exceed, Continued (See Note 1 of this table)**

<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>If Appointment is</i>	<i>And the Person</i>	<i>And</i>	<i>Then Nature of Action Code is</i>	<i>Nature of Action is</i>	<i>Authority Code is</i>	<i>And Authority is (See Notes 2 &amp; 3 of this table)</i>
7	Based on agency's authority to make temporary appointments by selection from a register or outside a register in accordance with procedures in 5 CFR part 333	Is not an employee of your agency		115	Appt NTE (date)	MXM	Reg. 316.402(a)
8		Is already employed in your agency in a different position or under a different appointing authority		515	Conv to Appt NTE (date)		
9	Based on reinstatement eligibility	Is not an employee of your agency		115	Appte NTE (date)	M6M	
10		Is already employed in your agency in a different position or under a different appointing authority		515	Conv to Appt NTE (date)		

## Chapter 31. Separations by Other than Retirement (Natures of Action 312, 317, 330, 350, 351, 352, 353, 355, 356, 357, 385, and 390)

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## **Chapter 31. Separations by Other than Retirement**

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### **1. Coverage.**

**a.** Separations are actions that end employment with an agency. This chapter covers separations by other than retirement. Actions covered include: resignations; terminations; removals; separations due to reduction in force; separations to enter the uniformed services; and deaths. It includes those involuntary separations under which the employee may be eligible for discontinued service retirement. (See Chapter 44 of **The CSRS and FERS Handbook.**)

**b.** This chapter does not cover: retirements (Chapter 30); movements from one part of an agency to another (Chapter 14); changes in the human resource system serving the employee (not an official personnel action); or details to a State or local government, to an institution of higher learning, to another agency, or to an international organization (Chapter 14).

### **2. Definitions.**

**a. Appeal Rights**—An appeal right is an opportunity provided by law, Executive Order, regulation, or agency procedures to challenge a proposed action by presenting evidence and/or calling witnesses before an agency official who has the authority to modify or rescind the proposed action. For purposes of this chapter, the right to challenge an action through procedures designed to handle complaints of discrimination or violation of merit system principles is not an appeal right.

**b. Resignation**—a separation initiated by an employee.

**c. Resignation—ILIA** (in lieu of involuntary action)—a separation initiated by the employee under circumstances that meet the definition of “involuntary separation” in Chapter 44 of **The CSRS and FERS Handbook.**

**d. Removal**—a separation from Federal service initiated by the agency, the Office of Personnel Management or the Merit Systems Protection Board under parts 359, 432, 731, or 752 of title 5, Code of Federal Regulations; section 1201 of title 5, U.S. Code; or comparable agency statutes or regulations. (Note: This Chapter covers actions that remove an employee from the agency. Most removals from the Senior Executive Service under part 359 result in conversion to an appointment outside the Senior Executive Service. These conversions are covered in Chapters 9-11.)

**e. Separation-Appt In (name of entity)**-a separation when an employee leaves a Federal agency to accept employment with a non-Federal Government entity that takes over his or her Federal functions *AND* the employee will continue to receive Federal benefits.

**f. Separation-US (uniformed services)**—a separation action initiated by the agency when the employee enters on duty with the uniformed services. (Note: This action is not appropriate when an employee fails to return, and did not provide written notice of intent not to return. In that case, he or she is subject to the policy and disciplinary action the agency would normally apply for a similar absence without approval.)

**g. Separation-RIF**—a separation from the agency under parts 351 or 359, title 5, Code of Federal Regulations, or as a consequence of reduction in force.

**h. Termination-Appt In (agency)**—a separation action initiated by either the employee or the agency when the employee (or a group of employees) moves from one agency to another agency.

**i. Termination during Prob/Trial Period**—an agency-initiated separation of an employee who is serving an initial appointment probation or a trial period required by civil service or agency regulations.

**j. Termination-Exp of Appt**—a separation action initiated by the agency to end employment on the not-to-exceed date of a temporary appointment.

**k. Termination-Sponsor Relocating**—an action to document the separation of a Department of Defense employee who submits a resignation to accompany a military or civilian sponsor to a new duty station.

### 3. Selection of Legal Authority.

**a. Meaning of “equivalent to CS Regs.”** For some actions covered by this Chapter, the legal authority will depend on whether the action is being taken under civil service laws and regulations, under agency procedures that are equivalent to those required under civil service laws and regulations, or under other procedures. To select the legal authority, you must know what procedures were used. If you are not sure, ask the person who approved the action. *You cannot select the correct authority without knowing the procedures used to effect the action.*

**b. Agency-Unique Authorities.** If the action is being taken under an authority that is unique to your department or agency, cite that authority instead of the authority and code shown in this Chapter. The Office of Personnel Management must have issued an authority code before an agency-unique authority can be used instead of the authorities shown in this Chapter.

**c. Actions for Which the Agency Must Select the Authority.** For some actions you will be given a legal authority code and told to cite the appropriate authority.

(1) If a specific law, Executive Order, regulation, or agency directive was the basis for the action, cite it in the legal authority block on the Standard Form 52/50, *along with the legal authority code shown in the table.*

(2) When the employee is serving on a temporary appointment and no other law, Executive Order, regulation, or agency directive applies to the action, cite the appointment authority in the legal authority block on the Standard Form 52/50, *along with the legal authority code shown in the table.*

(3) For situations not described in paragraphs (1) and (2), cite “5 U.S.C. 302” in the legal authority block on the Standard Form 52/50, *along with the legal authority code shown in the table.* 5 U.S.C. 302 is the general authority for an agency head to delegate authority to take actions necessary to carry out personnel actions. Cite it *only* in those rare instances when no other authority is appropriate for the action.

#### 4. Documenting Reason(s) for Separations

**a. Need for Remarks.** Most of the actions in this Chapter require remarks that document the reasons for the action. These remarks are used to determine future employment eligibility and eligibility for various benefits, including unemployment compensation. When a former employee applies for unemployment compensation, the State employment security agency will use the nature of action and the remarks to adjudicate the claim. Inadequate or incomplete information about the separation may result in delays or errors in processing such claims.

#### **b. Employee's Reason for Resignation.**

(1) Each person who resigns should be asked to do so in writing. Part E of the Standard Form 52 is one option for submitting a written resignation. When the employee resigns orally, try to obtain written confirmation. If this is not possible, ask the person who received the oral resignation to document it in a memorandum for the record.

(2) In the remarks section of the Standard Form 50, quote in full the employee's reason for resigning. If the employee's reason is so lengthy that it will not fit in the space available, summarize it. The entire reason will remain a matter of record because the resignation is a long term Official Personnel Folder document.

#### **c. Agency Comments Regarding Employee's Reason for Resignation—Agency Finding.**

**(1) Employees without appeal rights.** When the employee is serving an initial appointment probation or a trial period

required by civil service or agency regulations, or when employee is serving under an appointment that does not afford appeal rights, NO agency comments or findings regarding the employee's resignation may be placed on the Standard Form 52, Standard Form 50, in the employee's Official Personnel Folder, or in the Employee Performance Folder.

#### **(2) Employees with appeal rights.**

Agency findings should be documented on the resignation Standard Form 50 *only* when the employee has appeal rights *and* has been notified *in writing* of an agency action *BEFORE* the resignation was submitted. Agency findings should be documented if the employee was notified of:

- a proposed or pending disciplinary or adverse action;
- a proposed or pending position change due to failure to complete a supervisory/managerial probationary period successfully;
- action to withhold a within-grade increase; or
- proposed removal from the Senior Executive Service.

*Unless the employee was notified in writing BEFORE submitting the resignation, do NOT record any adverse agency findings on the Standard Form 52, Standard Form 50, in the Official Personnel Folder or the Employee Performance Folder.*

#### **d. Agency-Initiated Separations.**

##### **(1) Employees without appeal rights.**

When an employee who is serving on an appointment that *does not* afford appeal rights is separated for conduct and/or performance reasons, NO agency reasons for or comments regarding the action may be placed on the Standard Form 52, the

Standard Form 50, in the Official Personnel Folder or Employee Performance Folder.

**(2) Employees with appeal rights.**

When an employee serving on an appointment that does afford appeal rights is separated by the agency, the agency must summarize the reason(s) for the action in the Standard Form 50 remarks. The reason(s) must be consistent with any written reason(s) previously given the employee as the basis for his or her separation.

**e. Unemployment Compensation Claims.** An agency may have factual information that would impact on a former employee's unemployment compensation claim but is not documented on the separation Standard Form 50. In these cases, the agency may retain that information in a "subject file" that is separate and apart from the employee's personal records or any other records that are filed by and retrieved by employee name or employee identifier (such as an employee number, a payroll number, or Social Security Number). These files are retained for two years from the effective date of the separation.

**5. Effective Dates.**

All separations are effective at the end of the day (midnight) unless an earlier time is indicated on the Standard Form 50.

**a. Termination-Appointment In.**

When the separation is to move to other Federal employment without a break in service, the effective date should be the day immediately preceding the day the employee entered on duty in the new employing agency. Do not process the Termination-Apppt In (agency) action

before receipt of evidence that the employee actually has been appointed in the other agency. Accept as evidence of the appointment *only*:

(1) a copy of the Standard Form 50 or list form of notice by which the other agency appointed the person; *or*

(2) a copy of the other agency's appointment Standard Form 52 showing the appointment date and the appointing official's signature.

**b. Termination during probationary period.** The initial appointment probationary period ends at the end of the employee's tour of duty on the last work day of the probationary period. If management decides to terminate the employee during the probationary period, the Standard Form 50 must be effective on a *day prior* to the last day of the probationary period, or at a specific *time of day* before the end of the employee's work day on the last day of the probationary period.

**c. Other separations.** Resignations are effective on the date specified by the employee. Other separations are effective on the date set by the agency. When advance notice periods are required by law or regulation (for example, under adverse action procedures), the separation may not be effective prior to the last day of any notice period.

**d. Two actions proposed for the same date.** When two actions, such as a termination during probationary period and a resignation, are proposed for the same date but one specifies an earlier time, process the one with the earlier time. When two actions are proposed for the same date and time, process the one that was submitted *first*.

**Example 1:** On July 12th, a supervisor submits a request to terminate a probationary employee, effective July 16th. On July 13th, the employee submits a resignation to be effective “at the end of the workday on July 16th.” The agency's action would be effective at midnight since an earlier time was not specified. Because the actions would be effective at different times, and because the resignation would be effective first, the agency processes the resignation instead of the termination.

**Example 2:** On April 10th, the agency notifies the employee of its decision to remove him effective May 10th. On April 12th, the employee submits a resignation which is also effective on May 10th. Because neither request specifies an earlier time, each would be effective at midnight on May 10th. Since the removal was submitted first, the agency processes the removal instead of the resignation.

## 6. Instructions.

**a.** Follow instructions in Chapter 4 to complete the Standard Form 52 and Standard Form 50.

**b.** Select the nature of action and authority from the appropriate table:

Use Table 31-A for resignations; and

Use Table 31-B for separations other than resignations.

**c.** Use Table 31-C to select codes for remarks required for the action. Use Table 31-D to translate remarks codes into the remarks.

**d.** Also enter any additional remarks codes/remarks that are required by your agency's instructions or that are necessary to explain the action.

**e.** An employee may receive a within-grade increase (WGI) while in nonpay status when the WGI becomes due during the period of nonpay time that is creditable for that step. If the WGI was not processed before the separation, show the step and salary to which employee was entitled in blocks 19 and 20 of the separation Standard Form 50. Use remark P16 to explain that the employee met requirements for the WGI.

**f.** Follow your agency's instructions to process the action and distribute the Standard Form 50.

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

**h.** If employee is a retired officer or a member or former member of the uniformed services who is receiving retired or retainer pay and is subject to pay cap reporting procedures, make another copy of the Standard Form 50. Send it to the uniformed service finance pay center. (See Chapter 8 in this **Guide** for addresses of the pay centers.)

**i.** Follow instructions in **The Guide to Personnel Recordkeeping** to transfer the Official Personnel Folder. After you dispatch it, if you find any long-term (right side) records that belong to the Folder, send them immediately to the address to which the Folder was sent. Be sure employee's full name, social security number, and date of birth are on *each form or document*.

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## Job Aid

### Actions When an Employee Separates

**Instructions:** This list is intended as a reminder of actions that may be required when an employee separates. Follow your agency procedures to be sure that all required actions are taken.

<i>If the employee</i>	<i>Then</i>
Separates for a reason other than death	On or before the separation date, give the employee a completed Standard Form 8 showing the full address of the payroll office maintaining the records.
Is enrolled in a health benefits plan	Follow instructions in the <b>Federal Employees' Health Benefits Handbook for Personnel and Payroll Offices</b> .
Has Federal Employees' Group Life Insurance (FEGLI) coverage	Follow instructions in the <b>Federal Employees' Group Life Insurance Program - A Handbook for Employees, Annuitants, Compensationers and Employing Offices</b> .
Is covered by the Civil Service Retirement System or the Federal Employees' Retirement System	Follow instructions in <b>The CSRS and FERS Handbook for Personnel and Payroll Offices</b> .
Is a retired regular or warrant officer of the uniformed services	Send a copy of the separation Standard Form 50 to the uniformed service finance center. (See instructions in Chapter 8 of this <b>Guide</b> .)
Is a member or former member of a uniformed service who is subject to pay cap reporting procedures under 5 U.S.C. 5532(c)	
Was receiving or was entitled to receive severance pay based on a previous separation	Send a copy of the separation Standard Form 50 to the agency responsible for the severance pay fund so they will know to begin or resume any required payments.
May be entitled to severance pay based on this separation	Follow agency procedures. (Refer to title 5, Code of Federal Regulations, part 550.)
May be eligible for consideration under the agency's reemployment priority list, agency career transition assistance plan, or the interagency career transition assistance plan	Follow agency procedures. (Refer to title 5, Code of Federal Regulations, part 330.)
Was earning leave	Follow agency procedures for processing lump sum payments and preparing the Standard Form 1150, Record of Leave Data.

Page 31-10 is blank.

**Table 31-A. Documenting Resignations (See Note 1 of this table)**

<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>If Resignation is</i>	<i>And</i>	<i>Then NOAC is</i>	<i>NOA Is</i>	<i>Auth Code Is</i>	<i>Authority Is</i>
1	While employee is serving an initial appointment probation or a trial period required by civil service or agency regulations		317	Resignation	RUM	Reg. 715.202 Other
2	While employee is serving under an appointment that does not afford an appeal right (see Note 2 of this table)					
3	While employee is serving a probationary period in the Senior Executive Service					
4	After receiving notice of proposed or pending adverse action based in whole or in part on employee's misconduct or delinquency	Action is proposed under 5 U.S.C., chapter 75			RQM	Reg. 715.202 CAA (see Note 3 of this table)
5		Action is proposed under agency procedures equivalent to 5 U.S.C., chapter 75			RRM	Reg. 715.202 EAA (see Note 3 of this table)
6		Action is proposed under other procedures not described in Rules 1-5			RSM	Reg. 715.202 OAA (see Note 3 of this table)
7	After receiving notice of proposed or pending position change as result of failure to satisfactorily complete supervisory (or managerial) probationary period				>R6M<	Reg. 715.202 Prob

**Table 31-A. Documenting Resignations (See Note 1 of this table) (Continued)**

<i>R</i>	<i>A</i>	<i>B</i>	<i>C</i>	<i>D</i>	<i>E</i>	<i>F</i>
<i>U L E</i>	<i>If Resignation is</i>	<i>And</i>	<i>Then NOAC is</i>	<i>NOA Is</i>	<i>Auth Code Is</i>	<i>Authority Is</i>
8	After receiving notice of proposed removal or placement out of the Senior Executive Service for unacceptable work performance during probation		312	Resignation-ILIA	>R6M<	Reg. 715.202 Prob
9	After receiving notice of proposed placement out of the Senior Executive Service because of failure to be recertified				R9M	Reg. 715.202 Recert
10	After receiving notice of proposed placement out of the Senior Executive Service for less than successful performance following completion of Senior Executive Service probation				R7M	Reg. 715.202 Perf
11	After employee receives written notice of proposed or pending position change, demotion, or termination for unacceptable or unsatisfactory work performance not covered under Rules 1-10				Action is proposed under 5 CFR part 432	R8M
12	After employee receives written notice that position will be contracted out under Office of Management and Budget Circular A-76	Action is proposed under agency procedures equivalent to those under 5 CFR part 432	RUM	Reg. 715.202 Other		
13		Action is proposed under procedures not described in Rules 11-12	RTR	Reg. 715.202 (A-76)		
14						

Table 31-A. Documenting Resignations (See Note 1 of this table) (Continued)

<i>R</i>	<i>A</i>	<i>B</i>	<i>C</i>	<i>D</i>	<i>E</i>	<i>F</i>
<i>U L E</i>	<i>If Resignation is</i>	<i>And</i>	<i>Then NOAC is</i>	<i>NOA Is</i>	<i>Auth Code Is</i>	<i>Authority Is</i>
15	In lieu of proposed or pending reduction in force action or after written notification that position is being abolished	When Rule 14 does not apply	312	Resignation-ILIA	RTM	Reg. 715.202 RIF
16	After receiving notice of a new assignment as part of an established rotation policy within the agency or that was directed by the agency (see Note 4 of this table)	Assignment is out of commuting area and was not provided for at time of appointment			RXM	Reg. 715.202 Relo
17	After receiving written notice of a new assignment as a result of his or her job being contracted out under Office of Management and Budget Circular A-76				RPR	Reg. 715.202 (A-76 Assignment)
18	After receiving notice of a new assignment as a result of his or her job function being moved outside of employee's commuting areas (see Note 4 of this table)	New assignment is <i>not</i> the result of contracting out under Office of Management and Budget Circular A-76			RWM	Reg. 715.202 Reas
19	In lieu of an involuntary action described in Chapter 44 of <b>The CSRS and FERS Handbook</b> , and not covered in Rules 1-18	Employee has received written notice of the proposed action			RPM	Reg. 715.202

**Table 31-A. Documenting Resignations (See Note 1 of this table) (Continued)**

<i>R</i>	<i>A</i>	<i>B</i>	<i>C</i>	<i>D</i>	<i>E</i>	<i>F</i>
<i>U L E</i>	<i>If Resignation is</i>	<i>And</i>	<i>Then NOAC is</i>	<i>NOA Is</i>	<i>Auth Code Is</i>	<i>Authority Is</i>
20	In lieu of proposed or pending adverse action that is NOT based on employee's misconduct or delinquency and is not covered by Rules 1-19 (see Note 5 of this table)	Action is proposed under 5 U.S.C., chapter 75	312	Resignation-ILIA	RQM	Reg. 715.202 CAA (see Note 3 of this table)
21		Action is proposed under agency procedures equivalent to those under 5 U.S.C., chapter 75			RRM	Reg. 715.202 EAA (see Note 3 of this table)
22		Action is proposed under other procedures not described in Rules 1-21			RSM	Reg. 715.202 OAA (see Note 3 of this table)
23	Under conditions not covered in Rules 1-22 (see Note 6 of this table)		317	Resignation	RPM	Reg. 715.202

## NOTES:

1. When employee is leaving your agency to accept employment without a break in service in another agency, follow the instructions in Table 31-B to process the action as a 352/Termination-Appt In (agency). When the employee is moving to another appointment in your agency without a break in service, process the action as a conversion to the new appointment, *not* a resignation.

2. See Regulation 752.401(c) for a list of the employees who are covered by Part 752 of the civil service regulations and, therefore, have appeal rights. If the employee is serving on an appointment that is not listed in Regulation 752.401(c), such as on an Appt NTE in the competitive service, then the employee has no appeal rights.

3. The suffix "CAA" stands for "in lieu of action proposed under Civil Service adverse action procedures;" the suffix "EAA" stands for "in lieu of action proposed under agency procedures that are equivalent to the Civil Service adverse action procedures;" and the suffix "OAA" stands for "in lieu of action proposed under other adverse action procedures."

4. If an employee declines a reassignment and the agency issues a notice of proposed separation that is then followed by the employee's resignation, use Rules 20-22.

5. Use this rule only when the employee has been notified in writing of the proposed action.

6. If a Department of Defense employee is resigning to accompany a sponsor overseas, use Table 31-B.

**Table Summary: Table 31-B. Documenting Separations other than Resignations and Retirements**

<i>If Action is based on</i>	<i>Go to Rules</i>
Abandonment of position	61
Appointment in another agency	2-12
Conduct	35-40
Conduct and Performance	41-46
Contracting out of Employee's Position	17
Death	1
Directed Reassignment, failure to accept	21-23
Expiration of Appointment	14
Failure to qualify for conversion	57-60
Function or activity moves, employee declines to accompany	24-26
Lack of work/funds when employee is on a temporary appointment	18-19
Merit Systems Protection Board instruction	53
National security, directed by head of agency	56
Office of Personnel Management instruction	54-55
Performance	27-34
Pre-appointment conditions	47-52
Reemployed annuitant, employee being a	62
Reduction in Force (RIF)	15-16
Relocation of a Department of Defense Sponsor	20
Uniformed Services, duty with	13
Circumstances not listed above	63-65

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**Table 31-B. Documenting Separations Other than Resignations and Retirements**

<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>If Separation Is</i>	<i>And</i>	<i>Then NOAC Is</i>	<i>NOA Is</i>	<i>Auth Code Is</i>	<i>Authority Is</i>
1	Because of death of employee		350	Death		(No entry required)
2	Because employee moves without break in service from one Senior Executive Service position to another in a different agency (see Note 1 of this table)		352	Termination- Appt In (Agency)	VCR	5 U.S.C. 3395
3	When an Senior Executive Service (SES) appointee who has guaranteed placement rights is being appointed to a non-SES position in another agency as a result of action initiated by the appointing officer	Action is based on unacceptable performance during the Senior Executive Service probationary period			VDJ	5 U.S.C. 3594(a)
4		Action is based on less than fully successful performance following the Senior Executive Service probationary period			VCS	5 U.S.C. 3594(b)(1)
5		Action is based on reduction in force			VCT	5 U.S.C. 3594(b)(2)
6		Action is based on failure to be recertified			VCW	5 U.S.C. 3594(b)(3)
7		Because employee has accepted a position in another Federal agency without a break in service under circumstances not covered in Rules 2 through 6 (see Notes 1 and 2 of this table)	Separation is because function moves from one agency to another			PDM
8	Employee accepts job at a higher grade				DFM	5 CFR part 715 Prom

**Table 31-B. Documenting Separations Other than Resignations and Retirements (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>If Separation Is</i>	<i>And</i>	<i>Then NOAC Is</i>	<i>NOA Is</i>	<i>Auth Code Is</i>	<i>Authority Is</i>
9	Because employee has accepted a position in another Federal agency without a break in service under circumstances not covered in Rules 2 through 8 (see Notes 1 and 2 of this table)	Employee accepts a job at a lower grade job	352	Termination- Appt In (agency)	DKM	5 CFR part 715 CLG
10		Employee accepts a job at the same grade or in a different pay system			DBM	5 CFR part 715
11		To transfer to an international organization			PZM	Reg. 352.308
12		To accept appointment with the American Institute in Taiwan			ZPM	P.L. 96-8
13	Because employee is entering on duty with the uniformed services	Employee has provided written notice of intent not to return to a position of employment with the agency or elects to be separated in lieu of Leave Without Pay	353	Separation-US	Q3K	5 CFR part 353
14	Effected on the Not-to-Exceed date of a temporary appointment or when employee has worked the number of days or hours to which the appointment was limited		355	Termination-Exp of Appt		(No Entry Required)

Table 31-B. Documenting Separations Other than Resignations and Retirements (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>If Separation Is</i>	<i>And</i>	<i>Then NOAC Is</i>	<i>NOA Is</i>	<i>Auth Code Is</i>	<i>Authority Is</i>
15	Under reduction-in-force (RIF) procedures	Employee is in the Senior Executive Service	356	Separation-RIF	VDK	5 U.S.C. 3595
16		Employee is in the competitive service or the excepted service			PNM	Reg. 351.603
17		Due to contracting out of functions under Office of Management and Budget Circular A-76			PNR	Reg. 351.603 (A-76)
18	Because of lack of work, lack of funds, or ceiling limitations when employee is on a competitive service appointment limited to one year or less	Action is not effected under reduction-in-force regulations	357	Termination	MUM	Reg. 316.401
19	Because of lack of work, lack of funds, or ceiling limitations	When employee is on a temporary appointment that is not described in Rules 1-18			UYM	(Enter authority under which employee was appointed)
20	The result of a Department of Defense (DoD) employee submitting a resignation to accompany sponsor military or civilian sponsor to a new duty station (see Note 3 of this table)	Sponsor is on active duty in the military or is a Department of Defense civilian employee who (1) signed a mobility agreement which requires as a condition of employment, accepting an assignment anywhere in the world at management's request, or (2) relocates to or from an assignment at a duty station outside the continental United States.	351	Termination-Sponsor Relocating	RPM	Reg. 715.202

**Table 31-B. Documenting Separations Other than Resignations and Retirements (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>If Separation Is</i>	<i>And</i>	<i>Then NOAC Is</i>	<i>NOA Is</i>	<i>Auth Code Is</i>	<i>Authority Is</i>
21	Because employee declined to accept a directed reassignment, outside the commuting area, which was not provided for in employee's position description or employment agreement	Action is effected under 5 U.S.C., chapter 75	330	Removal	V9A	5 U.S.C. 75 Reas
22		Action is effected under agency procedures, equivalent to those under 5 U.S.C., chapter 75, that afford employee appeal rights			V9B	5 U.S.C. 75 Reas-Eq
23		Action is effected under procedures that do not afford employee appeal rights	357	Termination	USM	(Enter Agency Authority)
24	Because employee declined to accompany his or her function or activity when it was moved outside of the employee's commuting area	Action is effected under 5 U.S.C., chapter 75	330	Removal	VJJ	5 U.S.C. 75 Relo
25		Action is effected under agency procedures, equivalent to those under 5 U.S.C., chapter 75, that afford employee appeal rights			V2J	5 U.S.C. 75 Relo-Eq
26		Action is effected under procedures that do not afford employee appeal rights	357	Termination	UTM	(Enter Agency Authority)
27	Based on unacceptable or unsatisfactory performance (when employee's conduct is not a factor)	Is effected under Part 432, Civil Service Regulations	330	Removal	QGM	Reg. 432.101

Table 31-B. Documenting Separations Other than Resignations and Retirements (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>If Separation Is</i>	<i>And</i>	<i>Then NOAC Is</i>	<i>NOA Is</i>	<i>Auth Code Is</i>	<i>Authority Is</i>
28	Based on unacceptable or unsatisfactory performance (when employee's conduct is not a factor)	Is effected under agency procedures, equivalent to those required under part 432, Civil Service Regulations, that afford employee appeal rights	330	Removal	QHM	Reg. 432.101 Eq
29	Based on unacceptable or unsatisfactory performance or other factors unrelated to misconduct or delinquency	Action is processed under part 752D, Civil Service Regulations	385		VWP	5 U.S.C. 7513
30		Action is processed under agency regulations, equivalent to those required under part 752D, Civil Service Regulations, that afford employee appeal rights			VWR	5 U.S.C. 7513 Eq
31	Employee is serving an initial probationary period	Employee is serving an initial probationary period		385	Termination during prob/ trial period	L2M
32		Employee is serving a trial period required by civil service or agency regulation	L4M			Reg. 315.804 Eq
33		Employee is currently serving a probationary period in the Senior Executive Service	V2M			5 U.S.C. 3393
34	Employee is serving on an appointment not described in Rules 31-33 that does not afford appeal rights	Employee is serving on an appointment not described in Rules 31-33 that does not afford appeal rights	357	Termination	ZLK	(Enter Law, Executive Order or Regulation that authorizes termination because of performance)

**Table 31-B. Documenting Separations Other than Resignations and Retirements (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>If Separation Is</i>	<i>And</i>	<i>Then NOAC Is</i>	<i>NOA Is</i>	<i>Auth Code Is</i>	<i>Authority Is</i>
35	Based on employee's conduct or delinquency after entrance on duty (when work performance is not a factor and the separation is not covered under Rules 27-34)	Is effected under 5 U.S.C., chapter 75 (under civil service adverse action procedures)	330	Removal	V6J	5 U.S.C. 75 Postappt
36		Is effected under an agency authority, following procedures that are equivalent to those required under 5 U.S.C., chapter 75, that afford employee appeal rights			V8J	5 U.S.C. 75 Postappt-Eq
37		Is effected during an initial appointment probation	385	Termination during prob/ trial period	L2M	Reg. 315.804
38		Is effected during a trial period required by civil service or agency regulations			L4M	Reg. 315.804 Eq
39		Is effected during the probationary period of a Senior Executive Service career appointee			VYM	5 U.S.C. 3393 Postappt
40		Employee is serving on an appointment other than one described in Rules 37-39 that does not afford appeal rights	357	Termination	ZLJ	(Enter Law, Executive Order or Regulation that authorizes termination because of misconduct)

Table 31-B. Documenting Separations Other than Resignations and Retirements (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>If Separation Is</i>	<i>And</i>	<i>Then NOAC Is</i>	<i>NOA Is</i>	<i>Auth Code Is</i>	<i>Authority Is</i>
41	Because of employee's conduct or delinquency after entrance on duty <i>and</i> because of unacceptable performance	Is effected under 5 U.S.C. , chapter 75 (under civil service adverse action procedures)	330	Removal	VAJ	5 U.S.C. 75
42		Is effected under an agency authority, following procedures equivalent to those required under 5 U.S.C., chapter 75, that affords employee appeal rights			VHJ	5 U.S.C. 75 Eq
43		Is effected during an initial appointment probation	385	Termination during prob/ trial period	L5M	Reg. 315.804 Mix
44		Is effected during a trial period required by civil service or agency regulations			LXM	Reg. 315.804 Eq Mix
45		Is effected during the probationary period of a Senior Executive Service career appointee			V2M	5 U.S.C. 3393
46		Employee is serving on an appointment other than one described in Rules 43-45 that does not afford appeal rights	357	Termination	ZLL	(Enter Law, Executive Order, or Regulation that authorizes termination because of <i>both</i> misconduct and performance)

**Table 31-B. Documenting Separations Other than Resignations and Retirements (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>If Separation Is</i>	<i>And</i>	<i>Then NOAC Is</i>	<i>NOA Is</i>	<i>Auth Code Is</i>	<i>Authority Is</i>	
47	Because of conditions arising in whole or in part before employee's entrance on duty, such as making false statements on application/ resume or failure to qualify in investigation	Is effected under 5 U.S.C., chapter 75 (under civil service adverse action procedures)	330	Removal	V5J	5 U.S.C. 75 Preappt	
48		Is effected under an agency authority, following procedures equivalent to those required under 5 U.S.C., chapter 75			V7J	5 U.S.C. 75 Preappt Eq	
49		Is effected during an initial appointment probation	385		Termination during prob/ trial period	L6M	Reg. 315.805
50		Is effected during a trial period required by civil service or agency regulations				L8M	Reg. 315.805 Eq
51		Is effected during the probationary period of a Senior Executive Service career appointee				VUM	5 U.S.C. 3393 Preappt
52		Employee is serving on an appointment other than one described in Rules 49-51 that does not afford appeal rights	357		Termination	UXM	(Enter Law, Executive Order, or Regulation that authorizes the termination)
53		Instructed by the Merit Systems Protection Board				VAA	5 U.S.C. 1204
54	Instructed by the Office of Personnel Management	Is based on suitability reasons	330	Removal	RYM	Reg. 731.201	

Table 31-B. Documenting Separations Other than Resignations and Retirements (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>If Separation Is</i>	<i>And</i>	<i>Then NOAC Is</i>	<i>NOA Is</i>	<i>Auth Code Is</i>	<i>Authority Is</i>
55	Instructed by the Office of Personnel Management	Is based on reasons other than suitability	357	Termination	A3M	CS Rule V
56	Effected by agency head in the interest of national security		330	Removal	V4J and ZEM	5 U.S.C. 7532 and E.O. 10450
57	Required because employee failed, because of misconduct or delinquency, to qualify for conversion under Regulation 315.704	Action is effected under procedures of 5 U.S.C., chapter 75			LTM and VAJ	Reg. 315.704(c)-conduct and 5 U.S.C. 75
58		Action is not effected under procedures of 5 U.S.C., chapter 75	357	Termination	LTM	Reg. 315.704(c)-conduct
59	Because employee failed to qualify for conversion under Regulation 315.704 for reasons other than conduct or delinquency, such as for failure to pass an examination	Action is effected under 5 U.S.C., chapter 75	330	Removal	LUM and VAJ	Reg. 315.704(c) and 5 U.S.C. 75
60		Action is not effected under 5 U.S.C., chapter 75	357	Termination	LUM	Reg. 315.704(c)
61	Because employee abandoned his or her position (see Note 4 of this table)	Adverse action removal procedures are not followed			C7M	Reg. 715.202-Abandonment
62	Of a reemployed annuitant serving at the will of the appointing authority	The basis and procedure for the termination are not covered in Rules 14-61			VCM	5 U.S.C. 3323

**Table 31-B. Documenting Separations Other than Resignations and Retirements (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>If Separation Is</i>	<i>And</i>	<i>Then NOAC Is</i>	<i>NOA Is</i>	<i>Auth Code Is</i>	<i>Authority Is</i>
63	For employee to accept employment with a non-Federal Government entity that takes over his or her Federal functions	The employee will continue to receive Federal benefits	390	Separation-Appt In (name of entity)	ZLM	(Cite specific statute that authorizes the transfer of function)
64	Under circumstances not described elsewhere in this table	Employee is entitled to appeal the separation	330	Removal		(Enter Law, Executive Order or Regulation that authorizes the action)
65		Employee is not entitled to appeal the separation	357	Termination		

## NOTES:

1. Although an employee may submit a resignation in such cases, resignation is not required. Do not document the action as a resignation. When employee is moving to the other agency because of a reduction-in-force separation, document the action as a 356/Separation-RIF following the instructions in Rules 16 and 17.
2. When employee is on grade retention, compare the grade being retained with the grade of the position to which he or she is moving in order to determine if the move is to a position at a higher or lower grade.
3. The agency should review a copy of the orders assigning the employee's sponsor to a new duty station before using this code.
4. If employee is later found, in fact, to have resigned before the termination was processed, the termination can be corrected (following the procedures in Chapter 32) to show a resignation.

**Table 31-C. Codes for Required Remarks (Important: More than One Rule May Apply.)**

<i>R</i>	<i>A</i>	<i>B</i>	<i>C</i>	<i>D</i>
<i>U</i>	<i>If</i>	<i>And</i>	<i>And</i>	<i>Then Required Remarks Codes Are (See Note 1 of this table)</i>
<i>L</i>				
<i>E</i>				
1	Nature of action code is <i>not</i> 350			M67
2	Employee is resigning	Gave a reason for resignation		R19
3		Gave no reason for resigning		S68
4	Employee's reason for resigning is work-connected	Employee was advised of the opportunity to file a grievance (see Notes 2 and 3 of this table)		Employee filed a grievance
5			Employee did not file a grievance	M27
6	Senior Executive Service Career Appointee is resigning	Resigns after receiving notice of removal or placement out of the Senior Executive Service during probation		M58
7		Resigns after receiving notice of placement out of the Senior Executive Service for less than fully successful performance following completion of Senior Executive Service probation		M58 and S82
8		Resigns after receiving notice of placement out of the Senior Executive Service because of failure to be recertified	Is applying for discontinued service retirement under the Civil Service Retirement System	M58, S82, and S83
9			Is applying for discontinued service retirement under the Federal Employees Retirement System	M58, S82, and S84

Table 31-C. Codes for Required Remarks (Important: More than One Rule May Apply.) (Continued)

<i>R</i>	<i>A</i>	<i>B</i>	<i>C</i>	<i>D</i>	
<i>U</i>	<i>If</i>	<i>And</i>	<i>And</i>	<i>Then Required Remarks Codes Are (See Note 1 of this table)</i>	
<i>L</i>					
<i>E</i>					
10	Employee resigns after being given written notice of adverse action the Office of Personnel Management or agency <i>proposes</i> to take	Employee has been serving on an appointment which does afford appeal rights (see Note 2 of this table)	The action proposed was a separation action	S31	
11			The action proposed was a demotion	S32	
12			The action proposed was a suspension	S33	
13	Employee resigns after being given written notice of adverse action the Office of Personnel Management or agency has <i>decided</i> to take		The pending action was a separation action	S28	
14			The pending action was a demotion	S29	
15			The pending action was a suspension	S30	
16	Employee resigns after receiving notice that within-grade increase will be denied but before the 888/Denial of Within-grade Inc action is effected				S80
17	Employee resigns during initial appointment probation				S65
18	Employee resigns during trial period				S66

Table 31-C. Codes for Required Remarks (Important: More than One Rule May Apply.) (Continued)

R U L E	A	B	C	D
	<i>If</i>	<i>And</i>	<i>And</i>	<i>Then Required Remarks Codes Are (See Note 1 of this table)</i>
19	Employee is serving a probationary period for a supervisory (or managerial) position	Resigns after being notified of <i>proposed</i> position change for failure to satisfactorily complete that probationary period		S74
20		Resigns after being notified of <i>decision</i> on position change as a result of failure to satisfactorily complete that probationary period		S75
21	Employee received a reduction-in-force notice	Was offered another job	Declined the offer without giving a reason	S51, S54, and S56
22			Gave reasons for declining the offer	S51, S54, and R55
23		Was not offered another job		S51 and S58
24	Separation is based on employee's declination of relocation	R53		
25	Separation is based on employee's declination of assignment	R52		
26	Employee is terminated after receiving a written notice of adverse action <i>proposed</i> by the Office of Personnel Management or agency (see Note 6 of this table)	The termination was for reasons other than the proposed adverse action (see Note 2 of this table)	The action proposed was a separation	S42
27			The action proposed was a demotion	S41
28			The action proposed was a suspension	S40
29	Employee is terminated after receiving a written notice of <i>decision</i> on an adverse action proposed by the Office of Personnel Management or agency (see Note 6 of this table)	The termination was for reasons other than the pending adverse action (see Note 2 of this table)	The decision was a separation	S45
30			The decision was a demotion	S44
31			The decision was a suspension	S43

**Table 31-C. Codes for Required Remarks (Important: More than One Rule May Apply.) (Continued)**

<i>R</i>	<i>A</i>	<i>B</i>	<i>C</i>	<i>D</i>
<i>U</i>	<i>If</i>	<i>And</i>	<i>And</i>	<i>Then Required Remarks Codes Are (See Note 1 of this table)</i>
<i>L</i>				
<i>E</i>				
32	Separation is ordered by the Merit Systems Protection Board			S73
33	Separation is ordered by the Office of Personnel Management			S46
34	Separation is NOT ordered by the Office of Personnel Management or the Merit Systems Protection Board			S47
35	Nature of Action is <i>355/Termination—Exp of Appt</i>	Employee refused extension of appointment		S57
36	Employee separates to accompany a U.S. Government military or civilian sponsor overseas (outside the United States)			S78
37	Employee's total salary includes a retention allowance			P78
38	Employee's total salary includes payment for administratively uncontrollable overtime (AUO)			P82
39	Employee's total salary includes a supervisory differential			P80
40	Employee's total salary includes a staffing differential			P79

Table 31-C. Codes for Required Remarks (Important: More than One Rule May Apply.) (Continued)

R U L E	A	B	C	D
	<i>If</i>	<i>And</i>	<i>And</i>	<i>Then Required Remarks Codes Are (See Note 1 of this table)</i>
41	Employee's total salary includes availability pay			P98
42	Pay in position from which employee is separating has been set at a special rate under 5 U.S.C. 5305			P05
43	Employee was receiving (or was entitled to receive) severance pay at the time of current appointment based upon a previous separation (see Note 4 of this table)	Severance pay is to be resumed by agency responsible for severance pay fund (see Note 5 of this table)		N20
44		Employee lost entitlement to severance pay (see Note 5 of this table)		N23
45		Severance pay is to be <i>recomputed</i> by agency responsible for severance pay fund (see Note 5 of this table)		N21
46	Employee is entitled to severance pay based upon the separation (see Note 5 of this table)			N22 and N59
47	Employee's separation is involuntary	Employee is not entitled to severance pay		N23
48	Employee completed requirements for a within-grade increase <i>on</i> or <i>before</i> separation date	The within-grade increase was not effected		P16

Table 31-C. Codes for Required Remarks (Important: More than One Rule May Apply.) (Continued)

<i>R</i>	<i>A</i>	<i>B</i>	<i>C</i>	<i>D</i>	
<i>U</i>	<i>If</i>	<i>And</i>	<i>And</i>	<i>Then Required Remarks Codes Are (See Note 1 of this table)</i>	
<i>L</i>	Employee will receive lump sum payment for annual leave	The exact number of hours of unused annual leave is known	Retained rate will terminate during period of lump sum payment	N26 and P18	
<i>E</i>			Retained rate will not terminate during period of lump sum payment	N26	
			Employee does not have retained rate		
		The exact number of hours of unused annual leave is not yet available	Retained rate <i>will</i> terminate during period of lump sum payment	N27 and P18	
			Retained rate <i>will not</i> terminate during period of lump sum payment	N27	
			Employee does not have retained rate		
		Employee has been in nonpay status during current calendar year	Total nonpay status during current calendar year exceeds 6 months		G31
		Separation is from intermittent employment	Employment has been without compensation (WC)		G29 (see Note 7 of this table)
			Employment has been <i>with</i> pay		G30 (see Note 7 of this table)

Table 31-C. Codes for Required Remarks (Important: More than One Rule May Apply.) (Continued)

<i>R</i>	<i>A</i>	<i>B</i>	<i>C</i>	<i>D</i>
<i>U</i>	<i>If</i>	<i>And</i>	<i>And</i>	<i>Then Required Remarks Codes Are (See Note 1 of this table)</i>
<i>L</i>				
<i>E</i>				
58	Employee may be barred from annuity under 5 U.S.C. chapter 83, subchapter II	Employee is <i>eligible</i> to apply for an immediate annuity		M61
59		Employee is <i>not eligible</i> to apply for an immediate annuity		M60
60	Separation results from work-related injury/disability (see 5 U.S.C. 8102)	Employee is eligible for continuation of pay		N11 and N12
61				N10
62	Employee, who is separating from Federal service, has life insurance coverage	Employee has made an assignment of life insurance coverage		B69
63		Employee has not made an assignment of life insurance coverage		B46
64	Employee, who is separating from Federal service, has health benefits coverage	Separation is involuntary due to gross misconduct (see Note 8 of this table)	Is not being placed on the Office of Workers' Compensation Programs rolls	B47
65		Separation is not described in Rule 64		B53

**Table 31-C. Codes for Required Remarks (Important: More than One Rule May Apply.) (Continued)**

<i>R</i>	<i>A</i>	<i>B</i>	<i>C</i>	<i>D</i>
<i>U</i>	<i>If</i>	<i>And</i>	<i>And</i>	<i>Then Required Remarks Codes Are (See Note 1 of this table)</i>
<i>L</i>				
<i>E</i>				
66	Employee has elected to retain coverage under a retirement system for Non-appropriated Fund employees			B63
67	Employee under the Federal Employees Retirement System is separated after attaining the minimum retirement age (MRA) and completing 10 years of creditable service (see <b>The CSRS and FERS Handbook</b> , Chapter 42)			B62
68	Employee under the Federal Employees Retirement System is separated after completing 10 years of creditable service (see <b>The CSRS and FERS Handbook</b> , Chapter 42)			B61
69	Employee is transferred to an international organization			M62
70	Employee separates to go to the American Institute in Taiwan under P.L. 96-8			M04
71	Senior Executive Service (SES) appointee who has guaranteed placement rights is being appointed to a non-SES position in another agency	The action is based on unacceptable performance during probation, less than fully successful performance following probation, or failure to be recertified		M58
72	Employee abandoned his or her position			S20

**Table 31-C. Codes for Required Remarks (Important: More than One Rule May Apply.) (Continued)**

<i>R</i>	<i>A</i>	<i>B</i>	<i>C</i>	<i>D</i>
<i>U</i>	<i>If</i>	<i>And</i>	<i>And</i>	<i>Then Required Remarks Codes Are (See Note 1 of this table)</i>
<i>L</i>				
<i>E</i>				
73	Employee's separation is as a result of reduction in force	Employee is in Tenure Group I or II of the competitive service		M63
74	Employee will have reemployment rights			M64
75	Employee is separating from an excepted service appointment, a Senior Executive Service appointment, or a temporary or term appointment in the competitive service	Is a nonveteran who previously held a career-conditional appointment	Current employment occurred within 3 years after separation from that career-conditional appointment	M83
76	Action is a 357/Termination	Reason for the action is not described in Rules 1-75 and employee was serving on an appointment that did provide appeal rights (see Note 2 of this table)		S48
77	Action is a 330/Removal			S47
>78	Action is a 352/Termination-Appnt in (agency)		A FEGLI open enrollment election under Public Law 105-311 is pending	

## NOTES:

1. See Table 31-D to translate codes into actual remarks.
2. When employee is serving an initial appointment probation, a trial period required by civil service or agency regulations, or on an appointment which does not afford appeal rights, NO agency findings regarding employee's resignation or agency reasons for termination may be placed on the Standard Form 50.
3. When employee's reason for resigning is work-connected, the employee may file a grievance. Check with the personnel specialist who approved the action to determine if the employee was so advised; if so, ask which of these remarks applies.
4. Remarks on the separation Standard Form 50 for the previous separation and on the Standard Form 50 for the current appointment should show whether or not employee was entitled to and/or received severance pay based upon a previous separation.
5. See 5 CFR part 550, subpart G, to determine conditions under which employee is entitled to severance pay, severance pay will be recomputed or resumed, and conditions under which severance pay entitlement is lost.

## NOTES (Continued):

6. These instructions do not apply when action is 352/Termination-Appt in (agency).
7. Follow instructions in Figure 6-4 to convert hours worked to months and days of service credit. Standard Form 50 remarks are used as the basis for future service computation date calculations. Therefore, if your agency uses additional remarks to explain the time the employee worked, those agency remarks must show the intermittent service in terms of the *credit* to which the employee is entitled, rather than in terms of elapsed calendar time. Example: if employee worked on ten different days for a total of 35 hours, show in your agency remarks that the 35 hours equalled 6 days of service credit.
8. See **The Employees Health Benefits Handbook** for information about determining whether an involuntary separation is due to gross misconduct.

Table 31-D. Codes and Corresponding Remarks

<i>R U L E</i>	<i>If Code is</i>	<i>Then remark is</i>
1	B46	SF 2819 was provided. Life insurance coverage is extended for 31 days during which you are eligible to convert to an individual policy (nongroup contract).
2	B47	Health benefits coverage is extended for 31 days during which you are eligible to convert to an individual policy (nongroup contract).
3	B53	Health benefits coverage is extended for 31 days during which you are eligible to convert to an individual policy (nongroup contract). You are also eligible for temporary continuation of your FEHBP coverage for up to 18 months.
4	B61	You appear to be eligible for early deferred retirement benefits at age (enter eligibility age). If you have questions, contact your agency retirement counselor.
5	B62	You appear to be eligible for immediate MRA + 10 retirement annuity. If you have questions, contact your agency retirement counselor.
6	B63	Elected to retain coverage under a retirement system for NAF employees.
7	B69	Employee has assigned ownership of life insurance coverage. Assignment terminates 31 days after separation date unless employee is entitled to continued coverage before that date.
>8	B70	You made a life insurance open enrollment election under Public Law 105-311. Your election will be effective the first day of the pay period beginning on or after April 23, 2000, which immediately follows one in which you were in a pay and duty status.<
9	G29	Intermittent employment totaled (number) hours in work status from (date) to (date) [Note: When information on work status is not immediately available, prepare Standard Form 50 without it. Process a 002/Correction action to add the information to the Standard Form 50 later.]
10	G30	Intermittent employment totaled (number) hours in pay status from (date) to (date) [Note: When information on pay status is not immediately available, prepare Standard Form 50 without it. Process a 002/Correction action to add the information to the Standard Form 50 later.]
11	G31	Nonpay time not previously recorded in calendar year (year) totaled (number) hours.
12	M04	Under P.L. 96-8, is entitled to continue FEGLI and health benefits. Has reemployment rights in (agency from which separated) or successor agency upon separation from the Institute, subject to such time period and other conditions as the President may prescribe.

**Table 31-D. Codes and Corresponding Remarks (Continued)**

<i>R U L E</i>	<i>If Code is</i>	<i>Then remark is</i>
13	M26	Employee was advised of opportunity to file grievance and elected to do so.
14	M27	Employee was advised of opportunity to file grievance and elected not to do so.
15	M58	No SES reinstatement rights.
16	M60	Information on possible 5 U.S.C. chapter 83, subch. II, case may be obtained from (enter name & address). [Note: Enter this remark on payroll copy only of Standard Form 50.]
17	M61	Possible 5 U.S.C. chapter 83, subch. II, case. [Note: Enter this on payroll copy only of Standard Form 50.]
18	M62	You have reemployment rights in (agency) under 5 U.S.C. 3582 provided separation is no later than (enter period) after the date of entry on duty in (name of international organization) and you apply to this agency within 90 days from date of your separation.
19	M63	To be placed on (agency) reemployment priority list until (date).
20	M64	You have employment rights in (agency) for (how long) under (authority).
21	M67	Forwarding address:
22	M83	The 3-year limitation eligibility for reinstatement is extended by the period you serve on excepted, SES, term, or temporary appointment.
23	N10	To (or expected to) be paid under 5 U.S.C. chapter 81.
24	N11	Employee is entitled to 45 calendar days of continuation of regular pay under 5 U.S.C., chapter 81, section 8118.
25	N12	Expected to be paid under 5 U.S.C. chapter 81 following 45 calendar days COP period.
26	N20	Severance pay to be resumed by (agency responsible for severance pay fund).
27	N21	Severance pay to be recomputed by (agency responsible for severance pay fund).
28	N22	Entitled to (\$ ) severance pay fund to be paid at the rate of (\$ ) per week over (number) weeks beginning (date).

Table 31-D. Codes and Corresponding Remarks (Continued)

<i>R U L E</i>	<i>If Code is</i>	<i>Then remark is</i>
29	N23	Not entitled to severance pay.
30	N26	Lump-sum payment to cover (number) hours ending (date and hour).
31	N27	Lump sum payment to be made for any unused annual leave.
32	N59	OPF retained by (name & address of office).
33	P05	Special rate under 5 U.S.C. 5305.
34	P16	Met all requirements for WGI to (grade and step) on (date); due on (date).
35	P18	Retained rate period expires (date). Effective (date) pay will be (amount).
36	P78	Salary in block 12 includes retention allowance of \$_____.
37	P79	Salary in block 12 includes staffing differential of \$_____.
38	P80	Salary in block 12 includes supervisory differential of \$_____.
39	P82	Salary in block 12 includes AUO of \$_____.
40	P98	Salary in block 12 includes availability pay of \$_____.
41	R19	Reason for resignation: (Enter reason given by employee. When reason is too lengthy to fit into block 45 of the Standard Form 50, it should be summarized).
42	R52	Reason(s) for declination of assignment: (enter reason(s)).
43	R53	Reason(s) for declination of relocation: (enter reason(s)).
44	R55	Refused job offer because: (reasons given by employee).

**Table 31-D. Codes and Corresponding Remarks (Continued)**

<i>R U L E</i>	<i>If Code is</i>	<i>Then remark is</i>
45	S20	(State the conditions under which the employee abandoned the position.)
46	S28	Agency Finding: Resigned after receiving written notice on (date) of decision to separate for (reasons).
47	S29	Agency Finding: Resigned after receiving written notice on (date) of decision to demote for (reasons).
48	S30	Agency Finding: Resigned after receiving written notice on (date) of decision to suspend for (reasons).
49	S31	Agency Finding: Resigned after receiving written notice on (date) of proposal to separate for (reasons).
50	S32	Agency Finding: Resigned after receiving written notice on (date) of proposal to demote for (reasons).
51	S33	Agency Finding: Resigned after receiving written notice on (date) of proposal to suspend for (reasons).
52	S40	Agency Finding: Terminated after receiving written notice on (date) of proposal to suspend for (reasons).
53	S41	Agency Finding: Terminated after receiving written notice on (date) of proposal to demote for (reasons).
54	S42	Agency Finding: Terminated after receiving written notice on (date) of proposal to separate for (reasons).
55	S43	Agency Finding: Terminated after receiving written notice on (date) of decision to suspend for (reasons).
56	S44	Agency Finding: Terminated after receiving written notice on (date) of decision to demote for (reasons).
57	S45	Agency Finding: Terminated after receiving written notice on (date) of decision to separate for (reasons).
58	S46	Separated by order of Office of Personnel Management dated (date) for violation of CS (enter proper rule or regulation).
59	S47	Reason(s) for removal: (state reason(s)).
60	S48	Reason(s) for termination: (state reason(s)).
61	S51	RIF notice dated (date).

**Table 31-D. Codes and Corresponding Remarks (Continued)**

<i>R U L E</i>	<i>If Code is</i>	<i>Then remark is</i>
62	S54	Offered job(s) of (position title, grade, salary, and geographical location).
63	S56	No reason given by employee for refusing job offer.
64	S57	Refused extension of appointment.
65	S58	No other work available.
66	S65	Resigned during initial appointment probationary period.
67	S66	Resigned during trial period.
68	S68	Employee gave no reason for resignation.
69	S73	Separated by order of Merit Systems Protection Board dated (date) for (enter briefly, but specifically, the reasons given by MSPB).
70	S74	Agency Finding: Resigned after receiving notice of proposed position change as a result of failure to satisfactorily complete probationary period for supervisory (or managerial) position.
71	S75	Agency Finding: Resigned after receiving notice of decision on position change as a result of failure to satisfactorily complete probationary period for supervisory (or managerial) position.
72	S78	Employee is accompanying a U.S. Government sponsor overseas.
73	S80	Agency Finding: Resigned after receiving notice that within-grade increase would be denied.
74	S82	Agency Finding: Resigned after receiving written notice on (date) of proposed placement out of the SES for (reason(s)).
75	S83	There is no annuity reduction based on age per 5 U.S.C. 8339(h).
76	S84	Eligible for an annuity supplement per 5 U.S.C. 8421(a)(2).

**Chapter 32. Interim Relief Actions, Corrections, Cancellations and Replacement Actions for Cancellations  
(Natures of Action 001, 002, 198, 199, 293, 867, and 868)**

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## Chapter 32. Interim Relief Actions, Corrections, Cancellations, and Replacement Actions for Cancellations

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### 1. Coverage.

This chapter provides instructions for processing personnel actions that provide interim relief for employees who prevail in initial actions before the Merit Systems Protection Board, for actions that correct or cancel previously issued actions, and ones that replace cancelled actions. See Chapter 3 for more guidance on cancellations and retroactive personnel actions.

### 2. Definitions.

**a. A correction** changes information shown on an earlier action on which an error occurred or adds information that was omitted from an earlier action. A correction does not alter the fact that an action occurred, it just changes the way in which it occurred or was documented. The following are examples of situations in which a correction is necessary:

- Nature of action is wrong, for example, appointment is documented as “Reinstatement-Career” and should be “Reinstatement-Career Conditional;”
- Legal authority is wrong, for example, authority indicates action is based on reclassification when it is the result of a career ladder promotion;
- Required remarks have been omitted from the action or there is

an error in the remarks that are documented;

- Step and salary are wrong, for example, “highest previous rate” rule has been applied incorrectly on an appointment;
- (5) Employee's retirement coverage is wrong, for example, is shown as “FICA & FERS” instead of “FICA & CSRS (Partial);” or
- Tenure, Annuitant Indicator, or another block on the Standard Form 50 is documented incorrectly.

**b. A cancellation** rescinds an earlier action that was improper, that was proper but contains references to an improper action, or that contains remarks that are inappropriate or erroneous and that should not have been recorded. The following are examples of situations in which a cancellation is necessary:

- A decision orders an action to be rescinded, withdrawn or, expunged.
- An appointing officer determines an action should never have occurred, for example, Within-grade Increase to GS-5/5 was processed when employee had completed only 52 (instead of the required 104) weeks of service at GS-5/4;
- Employee requests reconsideration of negative within-grade increase determination and the negative determination (documented with 888/Denial of WGI) is overturned;

- Appointment is void because of an absolute statutory bar to it or because employee was guilty of fraud in regard to the action or deliberately misrepresented or falsified a material matter;
- Change in tenure group, annual comparability pay adjustment, and realignment actions show employee to be at GS-5 when change to lower grade from GS-6 to GS-5 has been cancelled (cancelled actions must be replaced with ones showing employee to be at GS-6); or
- Resignation Standard Form 50 of an employee who is serving an initial appointment probationary period shows “Agency Finding: Resigned after receiving written notice of pending separation for misconduct.” (Since the appointment does not afford appeal rights, no “agency finding” or reasons may be placed on his resignation. The cancelled action must be replaced with one from which the “agency finding” has been deleted).

**c. A replacement action** is one that takes the place of a cancelled Standard Form 50 when:

- Another action is being substituted for the original action (for example, when a 15-day suspension is substituted for a 30-day suspension); or
- The original action was cancelled because it contained erroneous information and/or inappropriate remarks, but was otherwise a valid action; or

- The original was cancelled because it in some way reflected the effects of another personnel action that was also cancelled (for example, a FEGLI change that reflects a wrong grade because a previous change to lower grade was cancelled).

**d. A newly-required action** is one required as a result of a decision or a cancellation. For example, a change to lower grade is cancelled, thus returning employee to his or her prior grade. If the employee would have received a within-grade increase (WGI) if he or she had remained in the prior grade, the action to document the WGI is a newly-required action.

**e. A decision** For purposes of this **Guide**, a decision is (1) a Court Order; or (2) a decision or order or a settlement agreement reached under the rules and regulations of the Merit Systems Protection Board (MSPB), the Equal Employment Opportunity Commission (EEOC), the Federal Labor Relations Authority (FLRA), the Office of Personnel Management (OPM), or the agency; or (3) an arbitral award, or a decision of an agency head which adopts the recommendations of an agency factfinder; or (4) a settlement agreement between an individual and an agency under circumstances other than those above.

### 3. Standard Form 50 Preparation.

**a.** The employee's current servicing personnel office is responsible for preparing cancellation actions, correction actions, replacement actions and newly required actions—regardless of where the

person was employed on the date when the action was or should have been effective. This means that the agency that finds an error on a personnel action processes an 002/Correction action to correct it, no matter when and by whom the error was made. Use Table 32-A, 32-B, and 32-C to determine when actions are required, the number of actions that must be processed, and the Standard Form 50 items that must be completed.

**b.** Identify in block 47 (Agency Code) and 48 (Personnel Office), the agency that prepares the cancellation, correction, or replacement action; show in block 49 (Approval Date) the date on which the cancellation, correction, or replacement action is approved.

#### **4. Correction Actions.**

**a.** If an error appears on only one Standard Form (SF) 50, process a single 002/Correction to change that SF 50. If an error appears on more than one SF 50, you may *either* process an 002/Correction for each SF 50 on which the error appears *or* you may prepare a single 002/Correction to change the most recent SF 50 on which the error appears. If you prepare a single correction, use remark C12 to identify the other SFs 50 to which the correction applies. Follow instructions in Figure 32-1 to complete the SF 52/50.

**b.** Determine if the correction action affects any other personnel action(s) in the Official Personnel Folder, or has an effect on the employee's benefits, such as life insurance or health benefits. Also, review any other forms or documents in the

Folder to see if they contain incorrect data. If so, correct the actions and records. Consult the Privacy Act specialist in your office for the proper procedures.

**c.** Check **The Guide to Personnel Recordkeeping** to determine if any of the documents submitted 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 Folder.

**d.** Distribute Standard Form (SF) 50 copies according to agency instructions. When the correction is of an action effected by another agency, send it to the personnel office that services the activity in which the person was employed on the effective date of the original action. Ask that it be forwarded to the appropriate offices for action, for example, to the payroll office. Also send copies of any other forms related to that action. If the original action was filed on the right side of employee's Official Personnel Folder (OPF), file the correction on top of the action that it corrects. (Make sure that all entries on the SF 50 copy that is placed in the employee's OPF are readable).

#### **5. Cancellation Actions.**

**a.** Follow instructions in Figure 32-2 to complete the Standard Forms 52 and 50.

**b.** Determine if the cancellation action affects any other personnel action(s) in the Official Personnel Folder or has an effect on the employee's benefits, such as life insurance or health benefits. Also, review

any other forms or documents in the Folder to see if they now contain erroneous information. If so, take the necessary action to assure that actions and records contain accurate information. Consult the Privacy Act specialist in your office for the proper procedures.

**c.** Follow your agency's instructions to change the record in your agency's service record system, making sure to delete all actions or items referring to a cancelled action. When a replacement action is required to erase the effects of a cancelled action, record only the replacement action, making no reference to the cancelled action.

**d.** Unless specifically instructed to do so by the agency that issued the decision, do not file the cancellation Standard Form (SF) 50 in the Official Personnel Folder (OPF). Instead, remove from the OPF the personnel action (SF 50) being cancelled, the related SF 52, and supporting documents. If the cancellation results from an appeal, grievance, or complaint, file the OPF copy of the cancellation SF 50 (as well as the material removed from the OPF) in the appeal, grievance, or complaint file. Otherwise, destroy the material removed from the OPF. *(Note: When an employee is appointed improperly through no fault of his or her own and the Office of Personnel Management cannot regularize the appointment, the agency must separate the employee. The Comptroller General has ruled that in these cases, if the employee served in good faith, he or she does not lose the pay and service credit earned on the improper appointment. To*

*insure that employee receives credit for this service in the future, retain both the original SF 50 and the cancellation action in the Folder.*

**e.** Distribute the remaining Standard Form (SF) 50 copies according to agency instructions. When the cancellation is of an action effected by another agency, send it to the personnel office that services the activity in which the person was employed on the effective date of the original action and ask that it be forwarded to the appropriate offices, for example, the payroll office. Send with the SF 50 a copy of the decision that was the basis for the action, as well as the payroll copy of any other forms related to the action.

## **6. Newly Required and Replacement Actions.**

**a.** When an action is newly required by a decision, or is a replacement for a cancelled action, use Table 32-A, Table 32-G, and the chapter that covers the action to be processed to select the nature of action, legal authority and remarks. For example, if a Within-grade Increase is newly required, follow the instructions in Table 32-A, Table 32-G, and in Chapter 17; if a Reassignment action replaces a Removal that has been cancelled, follow the instructions in Tables 32-A and 32-G and in Chapter 14. *Never place, on a newly required or a replacement action, any references to the appeal, complaint, or decision, that resulted in the need for the action.* (Always use the current edition of the Standard Form 50 and the instructions in

the **Guide** to process replacement and newly-required actions.)

**b.** If, on the effective date of the action, the agency would not have had an appropriate authority to take the necessary action (for example, the decision orders the employee assigned to a position in a series for which standards were not issued until a year after the effective date), cite "HAM/Reg. 250.101" as the legal authority. This is a general "do-what-the-decision-says" authority. Its use avoids the need to cite a specific

order or decision that would identify more specifically the employee's original complaint and result in irrelevant information being placed on the Standard Form 50 and in the Official Personnel Folder. This protects the employee's privacy and satisfies the usual intent of decisions.

#### **7. Actions to Provide Interim Relief.**

Follow instructions in Figure 32-3 to process actions to provide interim relief.

**Page 32-8 is blank.**

**Table 32-A. Cancellations, Corrections, Replacement Actions, and Newly-Required Actions (see Notes 1 and 2 of this table)**

R U L E	A	B	C	D
	<i>If</i>	<i>And</i>	<i>Then</i>	<i>And</i>
1	Action has been determined to be improper	It must be rescinded, withdrawn, or expunged from employee's records	Issue 001/Cancellation.	
2	Errors appear in Standard Form (SF) 50 data that are required by, or that are reported to the Office of Personnel Management (OPM)		Issue 002/Correction.	
3		Errors appear in the "Remarks" block	Issue 002/Correction, showing <i>only</i> the correct remarks.	Make <i>no</i> reference on the action to the incorrect remarks.
4		The exact same error(s) appear(s) on more than one previous action	Issue 002/Correction for the most recent SF 50 on which the error(s) appear(s).	Make sure that all entries on the correction pertain to the action identified by the nature of action on the correction.
5	Errors appear only in SF 50 information that is <i>not</i> required by or reported to OPM (the position number or appropriation code)		Correction SF 50 is <i>not</i> required by OPM.	The error may be corrected in pen and ink on the Official Personnel Folder copy of the SF 50, or the agency may correct the errors on an SF 50 with a 900 series nature of action.

**Table 32-A. Cancellations, Corrections, Replacement Actions, and Newly-Required Actions (see Notes 1 and 2 of this table)  
(Continued)**

R U L E	A	B	C	D
	<i>If</i>	<i>And</i>	<i>Then</i>	<i>And</i>
6	A correction action should not have been processed because data on the original action were correct		Issue a second 002 action to correct the <i>original</i> action.	Use remark code C11 to indicate that the item is being corrected from the documentation on the first correction. For example: The Service Computation Date (SCD) on a 130/Transfer was 04-09-80. An 002/Correction was issued to change it to 04-12-80. Now you decide that the original SCD was correct. Prepare another correction with 002/Correction in blocks 5A-B and 130/Transfer in blocks 6A-B. Enter in Remarks: "Corrects item 31 from 04-12-80."
7	Action that was cancelled must be replaced		Issue Standard Form 50 with the nature of action, authority, and effective date that would have been used if action had been processed properly to begin with. Identify in blocks 46-50 the office that processes the replacement action, the date it is approved by the appointing official in that office, and the title of that official.	Make <i>no</i> reference to the action that was cancelled or to the reason for the replacement action.

**Table 32-A. Cancellations, Corrections, Replacement Actions, and Newly-Required Actions (see Notes 1 and 2 of this table)  
(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>Then</i>	<i>And</i>
8	Action is newly required as a result of a cancellation		Prepare action using the nature of action, authority, and effective date that would have been used if action had been processed as it should have been. Enter in block 49 the date on which the appointing official actually approved the newly required action.	Make <i>no</i> reference to the reason the action is just now being processed.

NOTES:

1. Instructions for using nature of action, legal authority, and remarks codes were implemented on 01/01/82. Follow the instructions in this **Guide** even if the effective date of the original action or of a newly required action is earlier than 01/01/82.
2. Pen and ink corrections may be made to correct Standard Form (SF) 50 information that is not required by or reported to the Office of Personnel Management (OPM). However, *under no circumstances* may an agency “x” out or use pencil, pen and ink, “white-out” or erasures to correct SF 50 information that is required by, or reported to, OPM.

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**Table 32-B. Actions to Effect Cancellations and Corrections**

<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>Then</i>	<i>And</i>
1	Only one action was processed on the original Standard Form (SF) 50	That action needs to be cancelled	Process one 001/ Cancellation action	Remove action being cancelled from the Official Personnel Folder (OPF) and place with OPF copy of the Cancellation SF 50 in the appropriate subject file (for example, if cancellation is the result of a decision on an adverse action appeal, place in subject file for the appeal) (see Note to this table)
2		That action needs to be corrected	Process one 002/ Correction action	File OPF copy of correction in OPF on top of action it corrects.
3	Two actions were processed on the original SF 50	Both actions need to be cancelled	Process two SFs 50—an 001/Cancellation action for each of the actions on the original SF 50.	Remove actions being cancelled from OPF and place with OPF copies of the Cancellation SFs 50 in the appropriate subject file (e.g., if cancellations are the result of a decision on an adverse action appeal, place in subject file for the appeal) (see Note to this table)
4		Only one action needs to be cancelled		Prepare a replacement SF 50 to provide a record of the “good” action. Remove original SFs 50 from OPF (see Rule 3 above) and file replacement SF 50 in OPF.

**Table 32-B. Actions to Effect Cancellations and Corrections (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>Then</i>	<i>And</i>
5	Two actions were processed on the original Standard Form (SF) 50	The errors or omissions appear <i>only</i> in blocks 5A-5F (first nature of action and authority) or 45 (remarks)	Process one 002/ Correction action	File the Official Personnel Folder (OPF) copy of the correction in the OPF on top of the SF 50 it corrects.
6		The errors or omissions appear <i>only</i> in blocks 6A-6F (second nature of action and authority) or 45 (remarks)		
7		The errors or omissions appear in both blocks 5A-5F and 6A-6F (first and second natures of action and authorities)	Process two 002/ Correction actions	
8		The errors or omissions appear in blocks 1-4, 23-44, or 46-50		

NOTE: When employee is entitled to credit for service on an improper appointment, retain both the original SF 50 and the cancellation action in the folder. See paragraph 5d of this chapter.

**Table 32-C. Completion of Standard Form 50 for Cancellations and Corrections**

<i>R U L E</i>	<i>A</i>	<i>B</i>
	<i>If</i>	<i>Then</i>
1	Action being corrected is an appointment	Prepare complete Standard Form (SF) 50. Enter remark C18 in block 45 to correct a remark on the original action or to add a remark that was omitted. If remarks on the original action were correct, use remarks required by Table 32-D to explain the SF 50 data being corrected and enter them in block 45. "Good" remarks (remarks that do not need corrections) do not have to be repeated in block 45 of the correction SF 50. (See Notes 1 and 2 of this table.)
2	Action being corrected is a conversion to an appointment	
3	Action being corrected is not described in Rules 1 and 2	Correction can be processed with either a "skeletonized" SF 50 or a complete SF 50. When a "skeletonized" SF 50 is used, complete the following blocks: 1. Name 2. SSN 3. Date of Birth 4. Effective date of action being corrected 5-A. (enter "002") 5-B. (enter "Correction") 6A-6B (enter correct nature of action and code for action being corrected) 6C-6F (enter correct authorities and codes for action being corrected)
4		Any blocks in which information is being corrected. Enter remark C18 in block 45 to correct a remark on the original action or to add a remark that was omitted. If remarks on the original action were correct, use remarks required by Table 32-D to explain the SF 50 data being corrected and enter them in block 45. "Good" remarks (remarks that do not need corrections) do not have to be repeated in block 45 of the correction SF 50. 46-47 Employing department or agency and code 48 Personnel Office ID 49-50 Signature, title, and date (See Notes 1 and 2 of this table.)

**Table 32-C. Completion of Standard Form 50 for Cancellations and Corrections**

<i>R U L E</i>	<i>A</i>	<i>B</i>
	<i>If</i>	<i>Then</i>
5	Action is being cancelled	<p>A “skeleton” Standard Form 50 may be used. Only the following blocks must be completed:</p> <ol style="list-style-type: none"> <li>1. Name</li> <li>2. SSN</li> <li>3. Date of Birth</li> <li>4. (enter effective date shown on original action)</li> <li>5-A (enter “001”)</li> <li>5-B (enter “Cancellation”)</li> <li>5C-5F (enter authorities and codes for the cancellation)</li> <li>6A-6B (enter nature of action and code of action being cancelled)</li> <li>45 Remarks</li> <li>46-47 Employing department or agency and code</li> <li>48 Personnel Office ID</li> <li>49-50 Signature, title, and date</li> </ol> <p>(See Notes 1 and 2 of this table.)</p>

**NOTES:**

1. Identify in blocks 46-48 the office that prepares the Correction or Cancellation, *not* the one that processed the action.
2. Show in block 49 the date on which your appointing official approved the cancellation or correction. If a Standard Form (SF) 52 was used, this usually will be the date on which the appointing official signed block C2 of the SF 52.

**Table 32-D. Remarks Required on Correction Actions**

R U L E	A	B	C
	<i>If the correction is to</i>	<i>And</i>	<i>Then Codes for Required Remarks Are (See Note below)</i>
1	Delete, add or change a remark		C18
2	Change information (other than a remark) that is erroneous		C11
3		The same error appears on one previous Standard Form (SF) 50	C11, C08
4		More than one previous SF 50 has the same error(s)	C11, C12
5		The correction action is also used to correct different error(s) on previous action(s).	C11, C13
6		The correction action is used to also add information omitted on a previous SF 50	C11, C09
7		Add information other than a remark that was omitted	
8	The same error appears on one previous SF 50		C17, C08
9	More than one previous SF 50 has the same error(s)		C17, C12
10	The correction action is used to also correct different errors on more than one previous SF 50		C17, C13
11	Change the effective date of an accomplished separation to avoid an unintentional break in service made through administrative error in effecting a move between agencies		C10

**Table 32-D. Remarks Required on Correction Actions**

<i>R U L E</i>	<i>A</i>	<i>B</i>	<i>C</i>
	<i>If the correction is to</i>	<i>And</i>	<i>Then Codes for Required Remarks Are (See Note below)</i>
12	Give employee benefit of highest previous rate of pay		C19, P01
13	Document a variation approved by the Office of Personnel Management (OPM) under Civil Service Rule V		M80
14	Document an OPM-approved exception from the reduction-in- military-retired-pay provisions		P50

NOTE: See Table 32-H to translate codes into actual remarks.

**Table 32-E. Authority and Authority Code Required on Cancellation Actions**

<i>R U L E</i>	<i>A</i>	<i>B</i>	<i>C</i>	<i>D</i>
	<i>If the cancellation is ordered or directed by</i>	<i>And the employee</i>	<i>Then Auth Code is</i>	<i>Authority is</i>
1	The Merit Systems Protection Board (MSPB)	Is entitled to backpay	AGM and VWL	(Cite the MSPB decision number and date) and 5 U.S.C. 5596
2		Is not entitled to backpay	AGM	(Cite the MSPB decision number and date)
3	The Office of Personnel Management (OPM)	Is entitled to backpay	ADM and VWL	(Cite OPM directive and date) and 5 U.S.C. 5596
4		Is not entitled to backpay	ADM	(Cite OPM directive and date)
5	The Equal Employment Opportunity Commission (EEOC)	Is entitled to backpay	ARM and VWL	(Cite EEOC decision number and date) and 5 U.S.C. 5596
6		Is not entitled to backpay	ARM	(Cite EEOC decision number and date)
7	A court or an agreed-upon out-of-court settlement	Is entitled to backpay	ASM and VWL	(Cite the court decision number and (date) and 5 U.S.C. 5596
8		Is not entitled to backpay	ASM	(Cite the court decision number and date)
9	A negotiated grievance procedure, an arbitrator, or Federal Labor Relations Authority	Is entitled to backpay	AXM and VWL	(Cite the official decision and date) and 5 U.S.C. 5596
10		Is not entitled to backpay	AXM	(Cite the official decision and date)

**Table 32-E. Authority and Authority Code Required on Cancellation Actions**

<i>R U L E</i>	<i>A</i>	<i>B</i>	<i>C</i>	<i>D</i>
	<i>If the cancellation is ordered or directed by</i>	<i>And the employee</i>	<i>Then Auth Code is</i>	<i>Authority is</i>
11	The head of the employing agency or his or her designee	Is entitled to backpay	UNM and VWL	(Cite agency directive or order, and date) and 5 U.S.C. 5596
12		Is not entitled to backpay	UNM	(Cite agency directive or order, and date)
13	An appointing officer under his or her delegated authority to take action on personnel matters, including the cancellation of actions that were processed in error	Is entitled to backpay	ATM and VWL	5 U.S.C. 302 and 5 U.S.C. 5596
14		Is not entitled to backpay	ATM	5 U.S.C. 302

**Table 32-F. Remarks Required on Cancellation Actions**

<i>R U L E</i>	<i>A</i>	<i>B</i>	<i>C</i>	<i>D</i>	
	<i>If the personnel action being cancelled is</i>	<i>And the corrective action is (See Note 1 of this table)</i>	<i>And Employee is</i>	<i>Then codes for Required Remarks Are (See Note 2 of this table)</i>	
1	Retirement for which person was found to be ineligible	Retroactive restoration	Entitled to back pay	C02, C27, C28	
2			Not entitled to back pay	C02	
3	Separation, including a retirement not described in Rule 1 above	Retroactive restoration with other disciplinary action	Entitled to back pay	C03, C27, C28	
4			Not entitled to back pay	C03	
5		Retroactive restoration to former grade not described in Rules 3-4	Entitled to back pay	C03, C27, C28	
6			Not entitled to back pay	C03	
7		Retroactive restoration at a lower grade	Entitled to back pay	C07, C27, C28	
8			Not entitled to back pay	C07	
9		Resignation		C14	
10		Change to lower grade	Retroactive change to former grade	Entitled to back pay	C06 and C27
11				Not entitled to back pay	C06
12	Retroactive change to intermediate grade		Entitled to back pay	C04 and C27	
13			Not entitled to back pay	C04	

**Table 32-F. Remarks Required on Cancellation Actions (Continued)**

<i>R U L E</i>	<i>A</i>	<i>B</i>	<i>C</i>	<i>D</i>
	<i>If the personnel action being cancelled is</i>	<i>And the corrective action is (See Note 1 of this table)</i>	<i>And Employee is</i>	<i>Then codes for Required Remarks Are (See Note 2 of this table)</i>
14	Suspension or furlough	A shorter period of suspension or furlough	Entitled to back pay	C14, C27, C28
15			Not entitled to back pay	C14
16		Cancellation of the entire action	Entitled to back pay	C14, C27, C28
17			Not entitled to back pay	C14 and C28
18	An improper appointment, made through no fault of the employee (or a subsequent action resulting from such an improper appointment), that cannot be "legalized"	Cancellation, with the employee being allowed credit for service and benefits on that appointment		C20 and C21
19	Not described in Rules 1-18		Entitled to back pay	C14 and C27
20			Not entitled to back pay	C14

**NOTES:**

1. If a replacement Standard Form 50 is prepared, see Table 32-G.
2. See Table 32-H to translate codes into actual remarks.

**Table 32-G. Remarks Required on Replacement and Newly Required Actions**

<i>R</i>	<i>A</i>	<i>B</i>	<i>C</i>
<i>U</i>	<i>If the SF 50 is a</i>	<i>And is prepared by</i>	<i>Then Use Remarks Codes (See Note below)</i>
<i>L</i>			
<i>E</i>			
1	Replacement action	The same office that issued the action being cancelled	C15
2		A different office than the one that issued the action being cancelled	C15, C16
3	Newly required action	The same office that serviced the employee on the effective date of the action	[none]
4		A different office than the one that serviced the employee on the effective date of the action.	C16

NOTE: Use Table 32-H to translate codes into actual remarks.

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**Table 32-H. Remarks Codes, Remarks, and Examples for Corrections and Cancellations**

<i>R</i>	<i>A</i>	<i>B</i>	<i>C</i>
<i>U</i>	<i>If</i>		
<i>L</i>	<i>Remark</i>	<i>Then Remark is</i>	<i>And an Example is</i>
<i>E</i>	<i>Code</i>		
1	C02	Employee found to be ineligible for (type) retirement.	"Employee found to be ineligible for voluntary retirement."
2	C03	Retroactive restoration.	
3	C04	Retroactive change to intermediate grade.	
4	C06	Retroactive change to former grade.	
5	C07	Retroactive change to lower grade.	
6	C08	Also corrects same item(s) on personnel action (code and nature of action) dated (date).	"Also corrects same item on personnel action 702 Promotion dated 11-27-88." (see Note 2)
7	C09	Also corrects (code and nature of action) effective (date), item (number), to add ( ).	"Also corrects 100 Career Appt. effective 08-07-94, item 34, to add `1'." (see Notes 1 and 2)
8	C10	Corrects date of separation from (date) to avoid a break in service when employee was appointed by (name of agency).	"Corrects date of separation from 12-17-88 to avoid a break in service when employee was appointed by Department of Agriculture."
9	C11	Corrects item (number) from ( ).	"Corrects item 3 from 05-18-61." (see Note 1)
10	C12	Also corrects same item(s) on all previous actions from (date) to (date).	"Also corrects same items on all previous actions from 05-10-88 to 11-12-88." (see Notes 2 and 5)
11	C13	Also corrects personnel action (code and nature of action), effective (date), item number ( ) from ( ).	"Also corrects 170 Exc Appt, effective 10-16-88, item number 24, from '3'." (see Notes 1 and 2)
12	C14	(Explain why the action is cancelled.)	"Cancels extension of appointment because the employee was converted to career-conditional before the effective date of the extension"
13	C15	This Notification of Personnel Action replaces a previously executed one.	
14	C16	This Notification of Personnel Action prepared by (name of employing office).	"This Notification of Personnel Action prepared by Defense Communications Agency, Arlington, Va."
15	C17	Completes item (number) which was omitted.	"Completes item 33, which was omitted." (see Note 1)
16	C18	Corrects item (number) to read: (enter only the correct remarks).	

**Table 32-H. Remarks Codes, Remarks, and Examples for Corrections and Cancellations (Continued)**

<i>R</i>	<i>A</i>	<i>B</i>	<i>C</i>
<i>U</i>	<i>If</i>		
<i>L</i>	<i>Remark</i>	<i>Then Remark is</i>	<i>And an Example is</i>
<i>E</i>	<i>Code</i>		
17	C19	Corrects salary to give employee benefit of highest previous rate of basic pay.	
18	C20	Cancelled in accordance with OPM letter [or instructions] dated (date). This SF 50 being cancelled must be retained permanently in the employee's Official Personnel Folder.	
19	C21	Service from (date of appointment) to (date appointment was regularized or cancelled) may be credited for qualifications purposes, and for leave accrual and RIF retention purposes, and for (list other purposes).	"Service from 11-07-88 through 12-02-88 may be credited for qualifications purposes, and for leave accrual and RIF retention purposes and for completion of initial appointment probation." (see Note 3.)
20	C27	Entitled to backpay under 5 U.S.C. 5596.	
21	C28	Active duty begins (date).	"Active duty begins 01-03-89."
22	C30	Nature of action and code shown on original action are no longer in use.	
23	M80	Variation under CS Rule 5 approved by OPM on (date).	
24	P01	Previously employed at (pay plan, grade, rate).	"Previously employed at GS 13, \$28623 p.a."
25	P50	Exception from the reduction-in-military-retired-pay provisions of (enter: 5 U.S.C. 5532(b) and/or 5532(c), as appropriate) approved by OPM under 5 U.S.C. 5532(g) on (date). (see Note 4.)	

**NOTES:**

1. Repeat the remark for each Standard Form 50 block being corrected.
2. Dates cited in remarks C08, C09, C12, and C13 are effective dates of the actions being corrected.
3. See Chapter 3, Figure 3-2, to determine purposes for which service is creditable.
4. Send copy of correction and the action being corrected to the retiree's uniformed service finance center. Addresses are in Chapter 8 of this **Guide**.
5. "To" date is the date of the action immediately preceding the one being corrected.

### Figure 32-1. Special Instructions for Processing Correction Actions

Note: Pen and ink corrections may be made to correct Standard Form (SF) 50 information that is not required by or reported to the Office of Personnel Management (OPM.) However, ***under no circumstances*** may an agency “x” out or use pencil, pen and ink, “white-out,” or erasures to correct SF 50 information that is required by or reported to OPM.

Nature of Action

- The nature of action and code for all corrections are 002 CORRECTION plus the nature of action and code of the action being corrected. For example, if a promotion is being corrected, enter the following in blocks 5A and 5B and 6A and 6B of the Standard Form 52:

5A	5B	6A	6B
002	Correction	702	Promotion

- If the nature of action and code on the original SF 50 are being corrected, show the correct nature of action and code in blocks 6A and 6B. Then, explain the correction in the remarks block on the SF 50. For example: “Correct items 6A and 6B (items 5A and 5B on original action) from 703/Promotion NTE.” When the action being corrected was effective prior to the implementation of this **Guide**, the nature of action and code being corrected may not be ones that are still in use. When this happens, use remark C30: “Nature of action and code shown on original action are no longer in use.”

Authority

- No authorities or codes are needed in blocks 5C–5F.
- Enter the authority code and authority of the action being corrected in blocks 6C–6F. If there is no correction to the code or authority, repeat these entries as they appeared on the original action. When the action being corrected was effective prior to the implementation of this **Guide**, it will not have had an authority code and may not have had an authority. When this happens, use the code and authority that are required for the current actions processed under the instructions in this **Guide**. If the authority(ies) or code(s) are being corrected, enter the correct one(s) in blocks 6C–6F and use remark number C11 to explain what was corrected. For example: “Corrects items 6C and 6D (5C and 5D on original action) from MUM Reg. 316.401.”

Effective Date

- With one exception, the effective date is the same as that shown on the original SF 50 (the one being corrected). Exception: if the effective date on the original SF 50 was wrong, show the correct effective date in block 4 on the correction SF 50. Then, explain the correction in the remarks block on the SF 50. Example: “Corrects item 4 from 05-13-89.”

**Figure 32-1. Special Instructions for Processing Correction Actions—Continued**

Remarks	<ul style="list-style-type: none"><li>● Use Table 32-D to select required remarks to explain the correction(s).</li><li>● When a remark is corrected or deleted, enter remark C18 in block 45 to explain. Example: “Corrects item 45 to read: . . .” Use the chapter that covers the original action to determine the remarks that are required.</li><li>● When block numbers on the original action differ from the block numbers in which the corrected data appear, reference both numbers in the remarks that are used to explain the correction; list first the block number in which the data appear on the correction action and then, in parentheses, the block number in which the data appeared on the original action.</li></ul>
Examples:	<ul style="list-style-type: none"><li>● “Corrects items 6A and 6B (5A and 5B on original action) from. . .” “Corrects item 45 (37 on original action) to read. . .”</li></ul>
Other Standard Form (SF) 50 Data Elements	<ul style="list-style-type: none"><li>● If an error appeared in an SF 50 data element other than one listed above, enter the correct information in the corresponding block on the correction action. Use remark C11 to explain each correction, and repeat the remark for each block being corrected. Example: “Corrects item 31 from `05-18-61.’ Corrects item `24’ from `2.’ Corrects item 32 from `P Part-time.’”</li></ul>

**Figure 32-2. Special Instructions for Processing Cancellation Actions**

- Nature of Action
- The nature of action and code for all cancellations are 001 CANCELLATION, plus the nature of action and code of the action being cancelled. For example, if a suspension is being cancelled, enter the following in blocks 5A and 5B and 6A and 6B of the SF 52:

5A	5B	6A	6B
001	Cancellation	450	Suspension NTE (date)

- Authority
- Use Table 32-E to select the appropriate authority and code; enter them in blocks 5C-5F.
- Remarks
- Use Table 32-F to select the appropriate remarks to explain the cancellation action. Do not repeat the remarks from the original Standard Form 50 (the one being cancelled) on the cancellation.

Page 32-30 is blank.

**Figure 32-3. Actions to Provide Interim Relief**

<i>SITUATION</i>	<i>INTERIM RELIEF IS REQUIRED</i>	<i>EMPLOYEE PREVAILS ON REVIEW BY THE FULL BOARD OR WHEN INITIAL DECISION BECOMES FINAL</i>	<i>AGENCY PREVAILS OR EMPLOYEE REQUESTS OR AGREES WITH AGENCY THAT INTERIM RELIEF SHOULD BE CANCELLED</i>
1. Employee who was separated is placed in pay and duty status	Process Standard Form (SF) 50 for a <b>199/Interim Appt</b> , using <b>R9N/Reg. 772.102(a)</b> as the authority. Show same tenure, FEGLI, retirement, and position occupied codes as before the separation. The position to which the employee is assigned should be the same as before the separation or a similar position that would provide the same grade, pay, and benefits. Cite in block 45 remark <b>A25/This action provides relief required by Public Law 101-12, pending final decision of the MSPB.</b> (See Notes 1 and 2 of this figure.)	Cancel the SF 50 that provided interim relief and all subsequent ones. Also cancel the original separation. (See Note 3 of this figure). Process all actions that should have occurred (including within-grade increases, pay adjustments, etc.) if the employee had not been separated or that were ordered by the initial decision on the appeal. (See Note 2 of this figure.)	Separate employee with a <b>357/Termination</b> action. If employee requests termination of interim relief or agrees with agency that it should be cancelled, cite <b>R9Q/Reg. 772.102(b)(3)</b> as the authority. Otherwise, cite <b>AGM (MSPB decision number and date)</b> as the authority.
2. Employee who was separated is placed in paid <i>nonduty</i> status because agency determines their return to duty or presence would be unduly disruptive to the work environment.	Process SF 50 for <b>198/Interim Appt in Nonduty Status</b> , using <b>R9R/5 CFR part 772</b> as the authority. Show same tenure, FEGLI, retirement, and position occupied codes as before the separation. The position to which the employee is assigned should be the same as before the separation or a similar position that would provide the same grade, pay, and benefits. Cite in block 45 remark <b>A25/This action provides relief required by Public Law 101-12, pending final decision of the MSPB.</b> (See Notes 1 and 2 of this figure.)		

**Figure 32-3. Actions to Provide Interim Relief (Continued)**

<i>SITUATION</i>	<i>INTERIM RELIEF IS REQUIRED</i>	<i>EMPLOYEE PREVAILS ON REVIEW BY THE FULL BOARD OR WHEN INITIAL DECISION BECOMES FINAL</i>	<i>AGENCY PREVAILS OR EMPLOYEE REQUESTS OR AGREES WITH AGENCY THAT INTERIM RELIEF SHOULD BE CANCELLED</i>
3. Civil Service Retirement System or Federal Employees' Retirement System annuitant is brought back in pay and duty status	Process Standard Form (SF 50) for a <b>199/Interim Appt</b> , using <b>R9N/Reg. 772.102(a)</b> as the authority. Show same tenure, FEGLI, retirement, and position occupied codes as before the separation. The position to which the employee is assigned should be the same as before the separation or a similar position that would provide the same grade, pay, and benefits. Cite in block 45 remark <b>A25/This action provides relief required by Public Law 101-12, pending final decision of the MSPB.</b> Notify the Office of Personnel Management (OPM) so that employee's annuity can be suspended. (See Notes 1, 2, and 4 of this figure.)	Cancel the SF 50 that provided interim relief and all subsequent ones. Also cancel the original separation. (See Note 3 of this figure.) Process all actions that should have occurred (including within-grade increases, pay adjustments, etc.) if the employee had not been separated or that were ordered by the initial decision on the appeal. (See Note 2 of this figure.) Notify OPM and request information on any overpayment of retirement benefits. (See Note 4 of this figure.)	Separate employee with a <b>357/Termination</b> action. If employee requests termination of interim relief or agrees with agency that it should be cancelled, cite <b>R9Q/Reg. 772.102(b)(3)</b> as the authority. Otherwise, cite <b>AGM (MSPB decision number and date)</b> as the authority. Notify OPM so that annuity can be resumed. (See Note 4 of this figure.)

**Figure 32-3. Actions to Provide Interim Relief (Continued)**

<i>SITUATION</i>	<i>INTERIM RELIEF IS REQUIRED</i>	<i>EMPLOYEE PREVAILS ON REVIEW BY THE FULL BOARD OR WHEN INITIAL DECISION BECOMES FINAL</i>	<i>AGENCY PREVAILS OR EMPLOYEE REQUESTS OR AGREES WITH AGENCY THAT INTERIM RELIEF SHOULD BE CANCELLED</i>
<p>4. Civil Service Retirement System or Federal Employees Retirement System annuitant is brought back in paid <i>nonduty</i> status because agency determines employee's return to duty or presence would be unduly disruptive to the work environment.</p>	<p>Process Standard Form (SF) 50 for <b>198/Interim Appt in Nonduty Status</b>, suing <b>R9R/5 CFR part 772</b> as the authority. Show same tenure, FEGLI, retirement and position occupied codes as before the separation. The position to which the employee is assigned should be the same as before the separation or a similar position that would provide the same grade, pay, and benefits. Cite in block 45 remark <b>A25/This action provides relief required by Public Law 101-12, pending final decision of the MSPB.</b> Notify the Office of Personnel Management (OPM) so that employee's annuity can be suspended. (See Notes 1, 2, and 4 of this figure.)</p>	<p>Cancel the SF 50 that provided interim relief and all subsequent ones. Also cancel the original separation. (See Note 3 of this figure.) Process all actions that should have occurred (including within-grade increases, pay adjustments, etc.) if the employee had not been separated or that were ordered by the initial decision on the appeal. (See Note 2 of this figure.) Notify OPM and request information on any overpayment of retirement benefits. (See Note 4 of this figure.)</p>	<p>Separate employee with a <b>357/Termination</b> action. If employee requests termination of interim relief or agrees with agency that it should be cancelled, cite <b>R9Q/Reg. 772.102(b)(3)</b> as the authority. Otherwise, cite <b>AGM (MSPB decision number and date)</b> as the authority. Notify OPM so that annuity can be resumed. (See Note 4 of this figure.)</p>
<p>5. Appellant who was an applicant for employment is placed in pay and duty status.</p>	<p>Process Standard Form (SF 50) for a <b>199/Interim Appt</b>, using <b>R9N/Reg. 772.102(a)</b> as the authority. Show the tenure, FEGLI, and retirement that are applicable to the appointment for which the appellant applied. Cite in block 45 remark <b>A25/This action provides relief required by Public Law 101-12, pending final decision of the MSPB.</b> (See Notes 1 and 2 of this figure.)</p>	<p>Cancel the SF 50 that provided interim relief and all subsequent ones. (See Note 3 of this figure.) Process the appointment for which appellant applied and all actions that should have occurred (including within-grade increases, pay adjustments, etc.) after the appointment or that were ordered by the initial decision on the appeal.</p>	<p>Separate employee with a <b>357/Termination</b> action. If employee requests termination of interim relief or agrees with agency that it should be cancelled, cite <b>R9Q/Reg. 772.102(b)(3)</b> as the authority. Otherwise, cite <b>AGM (MSPB decision number and date)</b> as the authority.</p>

**Figure 32-3. Actions to Provide Interim Relief (Continued)**

<i>SITUATION</i>	<i>INTERIM RELIEF IS REQUIRED</i>	<i>EMPLOYEE PREVAILS ON REVIEW BY THE FULL BOARD OR WHEN INITIAL DECISION BECOMES FINAL</i>	<i>AGENCY PREVAILS OR EMPLOYEE REQUESTS OR AGREES WITH AGENCY THAT INTERIM RELIEF SHOULD BE CANCELLED</i>
6. Appellant who was an applicant for employment is placed in paid <i>nonduty</i> status because agency determines their presence would be unduly disruptive to the work environment.	Process Standard Form (SF 50) for a <b>198/Interim Appt</b> , using <b>R9R/5 CFR part 772</b> as the authority. Show tenure, FEGLI, retirement, and position occupied code that are applicable to the appointment for which the appellant applied. Cite in block 45 remark <b>A25/This action provides relief required by Public Law 101-12, pending final decision of the MSPB.</b>	Cancel the SF 50 that provided interim relief and all subsequent ones. (See Note 3 of this figure.) Process the appointment for which appellant applied and all actions that should have occurred (including within-grade increases, pay adjustments, etc.) after the appointment or that were ordered by the initial decision on the appeal.	Separate employee with a <b>357/Termination</b> action. If employee requests termination of interim relief or agrees with agency that it should be cancelled, cite <b>R9Q/Reg. 772(b)(3)</b> as the authority. Otherwise, cite <b>AGM/(MSPB decision number and date)</b> as the authority.

**Figure 32-3. Actions to Provide Interim Relief (Continued)**

<i>SITUATION</i>	<i>INTERIM RELIEF IS REQUIRED</i>	<i>EMPLOYEE PREVAILS ON REVIEW BY THE FULL BOARD OR WHEN INITIAL DECISION BECOMES FINAL</i>	<i>AGENCY PREVAILS OR EMPLOYEE REQUESTS OR AGREES WITH AGENCY THAT INTERIM RELIEF SHOULD BE CANCELLED</i>
<p>7. Employee who was placed in nonpay/nonduty status (e.g., was suspended) is being returned to pay and duty status</p>	<p>Process Standard Form (SF 50) for <b>292/RTD</b>, using <b>R9N/Reg. 772.102(a)</b> as the authority. Cite in block 45 remark <b>A25/this action provides relief required by Public Law 101-12, pending final decision of the MSPB.</b> (See Note 1 of this figure.)</p>	<p>Cancel the SF 50 that provided interim relief, the one placing employee in nonpay status, and all subsequent actions that are the result of or reflect the nonpay status *** (See Note 3 of this figure.) Process all actions that should have occurred as the result of the decision.</p>	<p>—If employee already would have returned to duty, cancel the SF 50 that provided interim relief. Replace it with a <b>292/RTD</b> SF 50 effective on the day following the original not-to-exceed (NTE) date; use Table 16-C to select the authority code and authority. Cancel any other SF 50 that resulted from the RTD that provided interim relief ***. Process all actions that should have occurred during or after the original period in nonpay status. —If employee would still be in nonpay/nonduty status had he or she not prevailed on the initial decision, process another furlough, suspension, or placement in nonpay status action to return employee to nonpay status. If employee requests termination of interim relief or agrees with agency that it should be cancelled, *** cite <b>R9Q/Reg. 772.102(b)(3)</b> as the authority. Otherwise, cite <b>AGM/(MSPB decision number and date)</b> as the authority.</p>

**Figure 32-3. Actions to Provide Interim Relief (Continued)**

<i>SITUATION</i>	<i>INTERIM RELIEF IS REQUIRED</i>	<i>EMPLOYEE PREVAILS ON REVIEW BY THE FULL BOARD OR WHEN INITIAL DECISION BECOMES FINAL</i>	<i>AGENCY PREVAILS OR EMPLOYEE REQUESTS OR AGREES WITH AGENCY THAT INTERIM RELIEF SHOULD BE CANCELLED</i>
8. Employee who was placed in nonpay/nonduty status is being returned to pay status but not to duty status because agency determines employee's return to duty or presence would be unduly disruptive to the work environment.	Process Standard Form (SF 50) for <b>293/Return to Pay Status</b> , using <b>R9R/5 CFR part 772</b> as the authority. Cite in block 45 remark <b>A25/This action provides relief required by Public Law 101-12, pending final decision of the MSPB.</b> (See Note 1 of this figure.)	Cancel SF 50 that provided interim relief, the one placing employee in nonpay status, and all subsequent actions that are the result of or reflect the nonpay status (See Note 3 of this figure.) Process all actions that should have occurred as the result of the decision.	—If employee already would have returned to duty, cancel the SF 50 that provided interim relief. Replace it with a <b>292/RTD</b> SF 50 effective on the day following the original not-to-exceed (NTE) date; use Table 16-C to select the authority code and authority. Cancel any other SF 50 that resulted from the RTD that provided interim relief ***. Process all actions that should have occurred during or after the original period in nonpay status. —If employee would still be in nonpay/nonduty status had he or she not prevailed on the initial decision, process another furlough, suspension, or placement in nonpay status action to return employee to nonpay status. If employee requests termination of interim relief or agrees with agency that it should be cancelled, cite <b>R9Q/772.102(b)(3)</b> as the authority. Otherwise, cite <b>AGM/(MSPB decision number and date)</b> as the authority.

**Figure 32-3. Actions to Provide Interim Relief (Continued)**

<i>SITUATION</i>	<i>INTERIM RELIEF IS REQUIRED</i>	<i>EMPLOYEE PREVAILS ON REVIEW BY THE FULL BOARD OR WHEN INITIAL DECISION BECOMES FINAL</i>	<i>AGENCY PREVAILS OR EMPLOYEE REQUESTS OR AGREES WITH AGENCY THAT INTERIM RELIEF SHOULD BE CANCELLED</i>
9. Employee appealed denial of a General Schedule within-grade increase (WGI)	Process Standard Form (SF 50) for an <b>867/Interim WGI</b> , using <b>Q9K/Reg. 531.414(a)</b> as the authority. Cite in block 45 remark <b>A25/This action provides relief required by Public Law 101-12, pending final decision of the MSPB.</b> (See Note 1 of this figure.)	Cancel this SF 50 and replace it with an <b>893/WGI</b> effective on the date of the appellate decision ordering interim relief. Use Table 17-A to select the authority code and authority. Cancel any SF's 50 showing the step/salary resulting from the decision. (See Note 3 of this figure.)	Process SF 50 for an <b>868/Termination of Interim WGI</b> , using <b>Q9M/Reg. 531.414(c)</b> as the authority. Show in blocks 19 & 20 the step employee held prior to the 867 action and the salary for that step. Effective date is the date of the Merit Systems Protection Board's decision. Cite in block 45 remark <b>N61/Per Reg. 531.203(d)(2)(vi)</b> , the rate received solely during period of Interim WGI may not be used to establish highest previous rate.

**Figure 32-3. Actions to Provide Interim Relief (Continued)**

<i>SITUATION</i>	<i>INTERIM RELIEF IS REQUIRED</i>	<i>EMPLOYEE PREVAILS ON REVIEW BY THE FULL BOARD OR WHEN INITIAL DECISION BECOMES FINAL</i>	<i>AGENCY PREVAILS OR EMPLOYEE REQUESTS OR AGREES WITH AGENCY THAT INTERIM RELIEF SHOULD BE CANCELLED</i>
10. Employee who remained on the rolls in pay and duty status appealed another action (for example, change to lower grade) or agency's failure to take an action (for example, failure to promote)	Process Standard Form (SF 50) for action directed by the decision, using <b>R9N/Reg. 772.102(a)</b> as the authority. Cite in block 45 remark <b>A25/This action provides relief required by Public Law 101-12, pending final decision of the MSPB.</b> (See Note 1 of this figure.)	Cancel the SF 50 that provided interim relief. (See Note 3 of this figure.) —If employee appealed an action that occurred (for example, change to lower grade), cancel it and all subsequent actions. Replace with the action that should have occurred; process all other actions that should have occurred since that date. —If employee appealed agency's failure to take an action (e.g., failure to promote), process action ordered by final decision, as well as all others that should have occurred since that date. Cancel all SF's 50 processed since that date that do not reflect the decision.	Process SF 50 to return employee to pre-decision status (for example, change to lower grade if decision moved employee to a higher grade or reassignment if it moved employee to a different position at the same grade.) Cite as the authority <b>R9P/Reg. 772.102(b)</b> .

1. Follow instructions in Chapters 14-29 to document other actions that occur while employee is serving on an interim appointment or during a period of interim relief.
2. If the period of separation (break in service) is at least 180 days, the employee's previous waiver of basic FEGLI coverage and declinations of optional coverage(s) are cancelled, and new elections of waivers or cancellations must be filed. See **The Federal Employees Group Life Insurance Handbook**.
3. Cite AGM/(MSPB decision number and date) as the authority for each 001/Cancellation required by these instructions. For newly required or replacement actions, cite the authority required by the appropriate chapter. Place no reference to the appeal, the MSPB decision, or the Whistleblower Protection Act of 1989 on a newly required or a replacement action.
4. To notify the Office of Personnel Management, send a letter identifying employee by name, date of birth, and retirement claim number (if known); attach a copy of the SF 50 that documented the interim appointment, the SF 50 that documented the termination, or of the ones that documented cancellation of the interim relief and of the original separation, as appropriate. Send to OPM, P.O. Box 45, Boyers, PA >16017-0001<.