

**Eligibility for Portability following a Civil Service to Nonappropriated Fund (NAF) Move  
In-Processing Checklist for NAF Human Resources Office (HRO)**

This checklist is for NAF HRO use during in-processing. It assists the HRO in determining whether an employee is eligible for portability benefits following a move from an Appropriated Fund (APF) Civil Service position to a DoD NAF position. File a copy of the completed checklist in the employee's official personnel file, regardless of the eligibility determination. The Defense Civilian Personnel Advisory Service (DCPAS) "Portability of Benefits Reference Guide" contains additional information on appointing HRO responsibilities, as well as references to regulations and policies.\*

Employee Name:	Last 4 SSN:
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**1.  VERIFY NAF APPOINTMENT:**

a. Date of Current Appointment:	b. NAF Employing Component and Activity:
c. NAF Position Title:	d. NAF Pay Plan, Occupational Code, and Pay Band or Wage Grade:
e. NAF Employment Category (Regular Full or Part-time; or Flexible):	f. Permanent, or Temporary/Not to Exceed:
g. Is NAF position eligible for retirement coverage? <b>YES</b> <input type="checkbox"/> <b>NO</b> <input type="checkbox"/>	h. If YES, name of NAF retirement plan:

**2.  VERIFY LAST APF APPOINTMENT:**

Verify the employee's last retirement coverage, date of separation, and other information. Coordinate with the employee's former APF Component HRO to obtain the necessary information from the OPM SF-75 and the employee's Official Personnel Folder (OPF). If the former APF HRO is not known, see Section 12, Table 10, of the DCPAS Portability of Benefits Reference Guide for a list of APF Component POCs.

a. Date of Termination from APF position:	b. APF Employing Agency:
c. APF Position Title:	d. Pay Schedule, Occupational Code, and Grade:
e. Employment Category (Full, Part-time, Intermittent, or Seasonal):	f. Permanent, or Temporary/Not to Exceed:
g. Retirement Plan Coverage (APF or NAF (based on a prior portability move)): APF (Specify CSRS, CSRS-Offset, FERS, FERS RAE, or FERS-FRAE): Note: If employee is moving from a position covered by Civil Service Special Retirement Provisions, special counseling is required. NAF (Specify Army, Air Force, Marine Corps, NEXCOM, CNIC, AAFES, or Coast Guard NAF):	
h. Name of APF Servicing HR Point of Contact: Title and Organization: Phone Number: <span style="float: right;">E-mail:</span>	

3.  **CONFIRM WHETHER EMPLOYEE RECEIVED A VOLUNTARY SEPARATION INCENTIVE PAYMENT (VSIP) FROM APF OR NAF**

Prior VSIP receipt? <b>YES</b> <input type="checkbox"/> <b>NO</b> <input type="checkbox"/>	If YES, date of VSIP payment?
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If YES, review DoD restrictions on reemployment following VSIP acceptance. Employees who receive VSIP cannot be reemployed by DoD within 12 months of separation. VSIP repayment requirements apply to employees who accept a DoD position within 5 years of receiving a VSIP.

4.  **CONFIRM WHETHER EMPLOYEE IS AN ANNUITANT**

a. Is the employee receiving a CSRS/FERS annuity? <b>YES</b> <input type="checkbox"/> <b>NO</b> <input type="checkbox"/> If Yes, specify type of annuity (such as Voluntary, DSR, Disability, etc.):
b. Is the employee receiving a NAF annuity? <b>YES</b> <input type="checkbox"/> <b>NO</b> <input type="checkbox"/> If YES, name of NAF retirement plan providing annuity?

Note: A CSRS or FERS annuitant is not considered a reemployed annuitant in a NAF position, **unless** the employee elected to remain in CSRS or FERS following an APF to NAF move. Annuitant status and previous retirement portability elections affect an employee’s retirement coverage election eligibility and status as a reemployed annuitant. See Section 6.10 of the DCPAS Portability of Benefits Reference Guide for more information.

5.  **DETERMINE ELIGIBILITY FOR BENEFITS OTHER THAN RETIREMENT**

Did employee:

- (1) Move from a DoD APF position to a DoD NAF position, and
- (2) Move without a break in service of more than 3 days?

<input type="checkbox"/> <b>No.</b> (Movement is from an agency outside of DoD, or break in service is more than 3 days). Portability of non-retirement benefit <b>does not</b> apply. Treat as any other new NAF employee for purposes of non-retirement benefits.
<input type="checkbox"/> <b>Yes.</b> Portability of non-retirement benefits applies. Provide and document applicable benefits and service credit. Combine personnel files in an OPM Merged Record Personnel Folder.
<p><b>Do the following:</b></p> <input type="checkbox"/> Transfer annual, sick, and home leave balances, if NAF position provides leave benefits. (The employee does not receive a lump sum payout from the APF employer and there is no transfer of funds between APF and NAF employers). <input type="checkbox"/> Credit prior APF service towards NAF annual leave accrual rate. <input type="checkbox"/> Credit APF service for NAF severance pay purposes. <input type="checkbox"/> Review portability pay setting rules. In voluntary moves, highest previous rate of pay may be considered. Employees who are involuntarily moved receive protection of last rate of basic pay. <input type="checkbox"/> Credit APF service for NAF Business-Based Action purposes. <input type="checkbox"/> Review DoD NAF and Component NAF policy for application of all other benefits, including recruitment and relocation incentives, travel, transportation, and relocation expenses.

**6. CONFIRM ELIGIBILITY FOR A PORTABILITY OF BENEFITS RETIREMENT COVERAGE ELECTION**

See Section 6, Appendix 6B of the DCPAS “Portability of Benefits Reference Guide” for guidance and job aids on determining retirement election eligibility.

- a. Did employee previously elect to retain CSRS/FERS or NAF retirement coverage based on a prior move between APF and NAF positions?

<input type="checkbox"/> <b>No.</b> Continue to Section 6.b. of this checklist.
<input type="checkbox"/> <b>Yes.</b> The employee made an irrevocable election to be covered by the elected retirement coverage for all future APF and NAF service. <b>The employee is not eligible for another retirement portability election.</b> <input type="checkbox"/> Specify which retirement plan the employee elected: _____ .  <b>Do the following:</b> <input type="checkbox"/> Ensure that the employee’s Merged Record Personnel Folder contains appropriate documentation of the prior election. <input type="checkbox"/> Check employee’s annuitant status to confirm whether any reemployment restrictions apply and whether there is any effect upon salary or annuity. <input type="checkbox"/> Process the appropriate forms to continue the employee in the previously elected retirement coverage. Confirm that the data and payroll codes correctly reflect the retained retirement plan. <input type="checkbox"/> Coordinate with the elected system’s retirement and payroll offices to ensure that the correct employer and employee contributions are remitted for the defined benefit and defined contribution plans. Note: If employee retained APF retirement, be sure and obtain appropriate TSP forms (TSP 19 and/or most recent TSP 1 election form). If the employee retained NAF retirement, check with the applicable NAF retirement benefit office to obtain any required NAF 401(k) forms. <input type="checkbox"/> <b>No further retirement election opportunity. Go to Section 8 to complete checklist.</b>

- b. Did employee decline an opportunity to remain in CSRS/FERS following a previous move from an APF position to a NAF position?

<input type="checkbox"/> <b>No.</b> Continue to Section 6.c. of this checklist.
<input type="checkbox"/> <b>Yes.</b> The employee has already had a one-time election to remain in CSRS or FERS as a NAF employee. <b>The employee is not eligible for a second opportunity to elect to remain in CSRS or FERS.</b>  <b>Do the following:</b> <input type="checkbox"/> Ensure that the employee’s OPF contains appropriate documentation of the prior election declining to remain in CSRS or FERS. <input type="checkbox"/> Enroll the employee in the NAF retirement plan following the same procedures as for any other new NAF employee. No APF service transfers for retirement credit purposes. <input type="checkbox"/> <b>No further retirement election opportunity. Go to Section 8 to complete checklist.</b>

- c. Is the employee’s break in service between a position covered by CSRS/FERS and a position covered by a NAF retirement plan **more** than one year? (See DCPAS “Portability of Benefits

Reference Guide,” Section 6, Appendix 6B, Table 6 Job Aid for help in determining whether employee meets the requirement for a move between retirement-covered positions and no more than 1 year break.)

<input type="checkbox"/> <b>No.</b> Continue to Section 7 of this checklist.
<input type="checkbox"/> <b>Yes.</b> The employee does not meet the requirement that the break in service between retirement-covered positions be one year or less. <b>The employee is not eligible for an election to remain in CSRS or FERS.</b>
<b>Do the following:</b>
<input type="checkbox"/> Enroll the employee in the NAF retirement plan following the same procedures as for any other new NAF employee. No APF service transfers for retirement credit purposes.
<input type="checkbox"/> <b>No further retirement election opportunity. Go to Section 8 to complete checklist.</b>

**Informational Summary of Section 6:**

“Yes” responses to questions 6.a., 6.b., **or** 6.c. disqualify the employee from a retirement coverage portability election for the current move.

“No” responses to questions 6.a, 6.b. **and** 6.c. are intended to confirm that:

- The employee did not previously elect to remain in CSRS/FERS or NAF;
- This is the employee’s first election opportunity to remain in CSRS/FERS;
- The employee is moving between APF and NAF retirement-covered positions; **AND**
- The break in service between the positions is not more than 1 year.

An employee who meets these requirements is potentially eligible for a one-time election to remain in CSRS or FERS as a NAF employee. Section 7 of this checklist provides information on offering the retirement coverage election to an eligible employee.

**7.  PROVIDE RETIREMENT COVERAGE ELECTION TO ELIGIBLE EMPLOYEE**

Follow instructions for fillable form RI 38-144 to confirm and document eligibility and election offer. (See DCPAS “Portability of Benefits Reference Guide” for additional guidance.)

<input type="checkbox"/> Appointing NAF HRO completes Part 1 of Form RI 38-144.
<input type="checkbox"/> Employee completes Part 2 of RI 38-144 acknowledging receipt of election opportunity.
<input type="checkbox"/> Review with the employee the RI 38-144 instructions on the 30 day time limit for making a retirement election. The employee is considered covered by the NAF retirement plan until the election is made, or the time limit exceeded.
<input type="checkbox"/> Employee completes Part 3 of RI 38-144, choosing Option 1 (election to retain CSRS or FERS) or Option 2 (election <b>not</b> to retain CSRS or FERS).

**IF:**

<input type="checkbox"/> Employee chooses Option 1 to retain CSRS or FERS.	Complete the necessary forms to continue the employee in CSRS or FERS. See the separate checklist for NAF employees electing to retain CSRS or FERS retirement coverage.
<input type="checkbox"/> Employee chooses Option 2 to <b>not</b> retain CSRS or FERS.	Enroll the employee in the Component NAF retirement plan in the same manner as any other incoming NAF employee.
<input type="checkbox"/> Employee does not make an election within the 30 day time period.	The employee is considered to have chosen not to retain CSRS or FERS. The employee will be covered by the new position's NAF retirement plan. Enroll the employee in the Component NAF retirement plan in the same manner as any other incoming NAF employee.
<input type="checkbox"/> Appointing NAF HRO follows RI 38-144 instructions on documenting the election, providing copies of form to employee, and filing election form in the employee's OPF. Also file any accompanying documents in the OPF, such as job aids, eligibility checklists, and documents verifying retirement coverage in the former civil service position.	

**8.  PROVIDE EMPLOYEE WITH PORTABILITY OF BENEFITS ELIGIBILITY STATEMENT AND, IF NOT ELIGIBLE TO RETAIN RETIREMENT COVERAGE, A NOTICE OF APPEAL RIGHTS.**

The written eligibility statement notifies an employee of their eligibility or non-eligibility for portability of non-retirement and retirement benefits. If the employee is not eligible for retirement benefits, an additional written decision notice is required to notify the employee of appeal rights to the Merit Systems Protection Board.

**9.  PROVIDE APPOINTING NAF HRO INFORMATION:**

Name: Title: Organization: Phone number:	Today's Date:
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**10.  FILE A COPY OF THIS COMPLETED CHECKLIST, EMPLOYEE'S ELIGIBILITY STATEMENT, AND ANY OTHER SUPPORTING DOCUMENTS, SUCH AS PORTABILITY OF BENEFITS DECISION NOTICE, ON THE LEFT (TEMPORARY) SIDE OF THE EMPLOYEE'S OPF OR MRPF.**

\*Defense Civilian Personnel Advisory Service "Portability of Benefits Reference Guide," <https://www.dcpas.osd.mil/Content/documents/BWN/Portability%20Guide%20May%201,%2020217%20-%20Fall%202017.pdf>