



Department of Commerce
Phased Retirement Request/Agreement

Section A – Criteria – To be eligible to elect phased retirement, an employee must have been working a full-time work schedule for the 3-year period immediately before the effective date of a phased retirement election and must qualify for retirement under 5 U.S.C §8336(a) or (b) for the Civil Service Retirement System (CSRS), or 5 U.S.C §8412(a) or (b) for the Federal Employees Retirement System (FERS). The age and service requirements for those retirement provisions are as follows:

- CSRS:
 - Age 55 with 30 or more years of creditable service, or
 - Age 60 with 20 or more years of creditable service.
- FERS:
 - MRA (between age 55 and 57 depending on the date of birth) with 30 or more years of creditable service, or
 - Age 60 with 20 or more years of creditable service.

In addition, the Department of Commerce requires an employee to have received at least fully successful or equivalent performance ratings during the previous year to be eligible for phased retirement.

Employees in phased retirement status continue to work, but as a part-time employee, receiving half of their full-time annual salary, and approximately half of their annuity for the purpose of facilitating knowledge transfer (e.g., training, mentoring, advising, documenting, etc.) to ensure seamless continuity of agency operations.

1. Employee Last name, First name		2. Date of Application	
3. Official Position Title	4. Series	5. Grade/Band	
6. Organization	7. Official Duty Location (City, state, zip code)		
8. Work Email	9. Work Phone Number	10. First Level Supervisor	11. Supervisor Phone Number

Section B – Servicing Human Resources Office (SHRO) Certification and Counseling (To be completed *only* if Section A is completed by the requesting employee.)

By signing below: Both the applicant and the SHRO agree that retirement counseling has been completed and the applicant has received both a phased retirement estimate and a full retirement estimate. The applicant has been advised that he/she will be paid 50 percent of his/her salary and will receive approximately 50 percent of his/her retirement annuity while in phased retirement.

Date	Employee Signature
Date	Human Resources Specialist

Section C – Mentoring – Mentoring is defined broadly as any learning activities that allow for the transfer of knowledge and skills from one employee to others or to the organization in general. It includes, but is not limited to, mentoring the potential successor(s) to the phased retiree’s position, training, as well as documentation of processes, historical information, etc. A mentor is an experienced person who provides and transfers knowledge, advice, and support to another person, often leading and guiding by example through his/her expertise or success.

As a Phased Retiree you are required to spend a minimum of 20% of your working hours (i.e., 8 hours of your biweekly work schedule when working 40 hours per bi-weekly pay period) conducting mentoring activities. Mentoring activities may include, but are not limited to:

- Knowledge transfer, (i.e., sharing information through on-the-job training, developing Standard Operating Procedures, developing and providing training);
- Knowledge management (i.e., documenting, cataloging, storage on database, share strategies and processes used);
- Succession planning (i.e., identifying and developing potential leaders);
- Career Development (i.e., one-on-one mentoring, providing advice and guidance to an individual).

1. Describe the knowledge (i.e., technical, historical, institutional, statistical, methodological, etc.), expertise or skills that could be transferred through mentoring and/or learning activities. (1000 character limit)



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2. Describe how the knowledge transfer and/or learning activities could be conducted (i.e., individual mentoring, development of written documentation, training material/manual, etc.) (1000 character limit)
3. Describe the way this arrangement could contribute to/benefit the organization. (1000 character limit)
4. Describe the way this arrangement could benefit your supervisor, colleagues, and/or customers. (1000 character limit)
5. Proposed effective date and duration of Phased Retirement. (Maximum time period to be covered under Phased Retirement is two years. Extensions to Phased Retirement will be approved in increments of up to one year) (1000 character limit)

6. Proposed established part-time work schedule (must equal one-half the number of hours previously worked as full-time employee i.e., 40 hours.)

	Monday	Tuesday	Wednesday	Thursday	Friday
Week 1					
Week 2					

Section D - Employee Acknowledgement and Consent

1. I have read the Department of Commerce Phased Retirement Policy and certify that I am an employee that has been working a full-time work schedule for the 3-year period immediately before the effective date of entering into phased employment/phased retirement, that I meet the age and service requirements qualifying me for retirement under 5 U.S.C. 8336(a) or (b), or 5 U.S.C. 8412(a) or (b), and that I received at least a fully successful or equivalent performance rating during the previous year.
2. I acknowledge that I will be required to work an established part-time schedule equal to 50% of a full-time work schedule and that a minimum of 20% of my working hours (i.e., 8 hours when working 40 hours per bi-weekly pay period) will be spent performing mentoring activities, as described in Section C.
3. I understand Phased Retirement is not an employee's right or entitlement and acknowledge management has full discretion to approve or disapprove my application for participation in the Phased Employment/Phased Retirement Program.
4. I understand that if my Request for Participation in Phased Retirement is approved by the Agency Head or designee, the approved Request for Participation in Phased Retirement will serve as the agreement of my underlying responsibilities and time limitations as a phased retiree. **I understand upon expiration of the agreement, I will be voluntarily separated from Federal service on the effective date established on the agreement unless:** 1) I elect to enter full retirement at an earlier date; or 2) I apply for and I am approved to return to a full-time work schedule; or 3) I have been approved for an increment extension **before** the expiration date of the agreement; or 4) I am under an automatic extension of the agreement pending management's consideration of approval; or 5) I accept a position at another agency with or without the new agency's approval of Phase Retirement and am officially on the new agencies rolls within 3 calendar days of the expiration date of the agreement; or 6) I accept a new position in the Department of Commerce (either within or outside of my current bureau/operating unit) and are officially on the rolls within 3 calendar days of the expiration date of the agreement either with or without approval for Phased Retirement in my new position within the Department of Commerce.
5. If applicable - I understand that I must pay all deposits (military and civilian service) and redeposits in full prior to entering into Phased Employment/Phased Retirement and acknowledge that if these deposits and/or redeposit are not paid, I will not be able to pay them upon entering full retirement status.
6. If applicable – I understand that no FERS annuity supplement is payable during phased retirement.



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7. I understand that I will not receive a payment for annual leave accruals upon electing phased retirement and that such payment would be made in full after I enter full retirement status.
8. I understand that if I am approved for phased employment/phased retirement, there may be a time period in which I only receive my bi-weekly part-time salary pay until my monthly Phased Employment/Phased Retirement annuity has been finalized by the Office of Personnel Management.
9. I understand that I may request to end phased employment/phased retirement and return to full-time employment status with the consent of the agency. I also understand that should the agency consent to my request, the agency is not obligated to return me to the position of record held prior to entering phased retirement, if applicable.
10. I understand how returning to regular full-time employment status at the Department of Commerce **or** accepting a full-time appointment with another Federal agency as a regular employee would preclude me from re-entering phased retirement (Title 5, CFR 831.1721-1723).
11. I understand that I have the right to elect to fully retire at any time during the phased retirement period.
12. I understand that I may withdraw my request for participation in phased retirement/agreement at any time before the election becomes effective, **but not after the effective date, or after OPM has received a certified copy of a court order (under Title 5, Code of Federal Regulations Part 581 or Part 838) pertaining to phased retirement.**
13. I understand that the approving official and I may **mutually** rescind an existing agreement at any time, or modify the existing agreement before the expiration of the agreement currently in effect, by entering into a new agreement.

Employee Signature	Date:	Proposed Effective/Ending Date of Phased Retirement
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Section E – To be completed by the First Line Supervisor and Second Line Supervisor (if applicable). Blocks 1 – 5 only need to be completed IF the First Line Supervisor is recommending approval of the employee’s Request for Participation in Phased Retirement/Agreement.

1. Describe the succession plan for the phased retiree’s position, including if employee will remain in current position or move to a different position and then enter phased retirement.

2. Describe the importance to the organization and define the need for Phased Retirement for the period of time requested.

3. Describe the specific plan for implementing the knowledge transfer and/or learning activities for the period of the phased retirement agreement, and how it will be accomplished (i.e., preparing written documentation, training material/manual, mentoring, etc.)

4. What is the employee’s last summary rating of record? (Rating)

Outstanding Superior Fully Successful Minimally Satisfactory Unacceptable
 Eligible (CAPS only) Unsatisfactory (CAPS and APMS only) Exceeds Expectations (APMS only)
 Minimally Meets Expectations (APMS only)

5. Have there been any disciplinary actions within the past 2 years? (Yes/No) (If yes, please provide the dates)



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6a. First Line Supervisor I, () approve the mentoring activities described in Section C for ().	
6b. First Line Supervisor I recommend approval of this employees' application for phase retirement. (Yes/No)	
6c. I, () do not recommend and disapprove the Request for Participation in Phased Retirement for (). Please provide reason(s) below for disapproval.	
6d. Reasons for disapproval. (1000 character limit)	
Date	First Level Supervisor
7.a. Second Line Supervisor (if applicable) I, () approve the mentoring activities described in Section C for ().	
7b. Second Line Supervisor (if applicable) I recommend approval of this employee's application for phased retirement. (Yes/No)	
7c. I, () do not recommend and disapprove the Request for Participation in Phased Retirement for (). Please provide reason(s) below for disapproval.	
7d. Reasons for disapproval. (1000 character limit)	
Date	Second Level Supervisor
Section F – Agency Head (or designee) Approval (To be completed <i>only</i> if Section E is approved)	
Date	Final Approval Authority
Section G – Term of the Phased Employment/Phased Retirement Agreement (To be completed <i>only</i> if Section F is approved)	
1. This agreement will become effective when signed by both parties.	
2. The subject Phased Employment/Phased Retirement Agreement will commence on (insert date) and will end on (insert date) at which time this agreement will terminate. Any request for an extension must be submitted no less than 60 days before this expiration date to be considered.	
Date	Employee Signature
Date	First-Line Supervisor Signature



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Procedures for Completing a Request for Participation in Phased Retirement

All Department of Commerce (DOC) employees are required to complete Sections A through D if requesting to enter into Phased Retirement. If approved, you must also complete Section G which acknowledges that the terms of the Phased Retirement Request now serves as the Phased Retirement Agreement submit Part I of the Phased/Employment/Phased Retirement Status Election Form, SF-3116.

Note: Please see HR Bulletin #192, FY 15, Phased Retirement Policy, for information and instructions pertaining to other forms that need to be submitted to the Agency Head (or designee) for the final approval process.

Instructions

Section A. Employee is required to complete the entire section. Employee is mandated to complete the agency's required retirement counseling.

Section B. To be signed and dated by employee and the servicing human resources office certifying that the employee has completed retirement counseling.

Section C. To be completed by the employee. Employee must answer all questions.

Section D. Employee must check each box acknowledging his/her consent, and sign and date. Employee will forward the Request to the first level supervisor.

Section E. To be completed by the first line supervisor. Second line supervisor approval may be required based on the bureau or operating unit's established approval process. Forward to Agency Head (or designee) for consideration of final approval.

Section F. To be completed only if Section E has been approved. Upon Agency Head (or designee) approval of the Phased Retirement Request, forward the Request to the first line supervisor.

Section G. To be completed only if Section F has been approved. Employee and first line supervisor enter into the terms of the agreement, providing effective dates of Phased Retirement and termination of the agreement and forward to the Servicing Human Resources Office Benefits Staff.