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Civilian Personnel

# **A Guide for Conducting Workforce Reductions**

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A Guide for Conducting Workforce Reductions

Not applicable.

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## **FOREWORD**

This pamphlet provides guidance to civilian personnel offices for planning and implementing installation and activity:

Reductions

Transfers of mission and functions

Consolidations

Realignments, and Closures

It should be used as a guide and a supplement to, but not a substitute for, US Office of Personnel Management (OPM), Department of Defense (DOD), and Department of the Army (DA) regulations. These procedures have been used in the past within DA and they have resulted in the successful administration of the above actions.

The words "he," "his," or "him" when used in this publication represent both male and female, unless the context in which they are used indicates otherwise.

## Civilian Personnel

# A Guide for Conducting Workforce Reductions

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**By Order of the Secretary of the Army:**

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# Chapter 1 Introduction

## 1-1. General.

a. Efficient and effective use of the resources allocated by Congress, the Office of Management and Budget (OMB), and Office of the Secretary of Defense (OSD) to accomplish the Army mission is an absolute requirement of management at all levels in DA. Therefore, DA conducts continuous and systematic surveys, studies, and reviews of installations and activities to achieve the best possible organization and personnel structure. These reviews serve to assure that organization and personnel structures reflect advances in weapons and military training technologies and management techniques, and to comply with statutory and regulatory directives.

COMPETITIVE AREAS				
	C.L.	C.L.	C.L.	C.L.
GS-12	=====	=====	=====	=====
GS-11	=====	=====	=====	=====
GS-10	=====	=====	=====	=====

Figure 1-1. Each Line within the Blocks Represents an Interchangeable Position within the Competitive Level.

b. Managers must plan and organize the work of their installations and activities and assign duties to individual employees so that the Army program goals and objectives can best be accomplished. Some of these reviews and changes in missions will result in decisions to consolidate functions, reduce the manpower resources, or deactivate activities and installations.

c. CPOs have a key role in successfully planning and completing these decisions in full compliance with laws and regulations. Therefore, CPOs should insure that their staffs are well trained and capable of administering work force reductions and realignments. They should be knowledgeable of current regulatory and procedural requirements for conducting reduction-in-force (RIF) and transfer of function (TOF) actions.

## 1-2. Purpose.

This pamphlet has been developed for use by civilian personnel offices in planning and administering RIFs, base closures, consolidations, realignments and TOFs. This guide is aimed at providing operating personnel office staffs with tools to develop a general understanding of employee rights in the above situations.

## 1-3. Scope.

a. The guidance herein applies to the release of competing employees from their competitive levels through RIF procedures by—

- (1) Separation.
- (2) Demotion.
- (3) Furlough for more than 30 days, or
- (4) Reassignment requiring displacement of other employees when the release is required because of—
  - (a) Lack of work.
  - (b) Shortage of funds.
  - (c) Reorganization.
  - (d) Reclassification due to change in duties, or
  - (e) The exercise of reemployment or restoration rights.



- b.* RIF procedures do not apply and will not be used in the following types of actions:
- (1) Terminations of temporary appointees or reemployed annuitants.
  - (2) Assignments to vacant positions that are not the result of official RIF actions. These include actions in advance of and during a RIF that affects employees who have not been reached for release from their competitive levels.
  - (3) Separations for cause.
  - (4) Separations on order of OPM.
  - (5) Separations for failure to accompany a transferred activity.
  - (6) Placement of seasonal employees in a nonpay status because of the seasonal nature of their work.
  - (7) Separations of members of the Senior Executive Service.
  - (8) Return of an employee to a nonsupervisory or nonmanagerial position for failure to complete a probationary period for supervisor or manager.
  - (9) Demotions resulting from application of new or revised classification standards or corrections of a classification error.
  - (10) The temporary release of on-call employees to nonpay status or recall to pay status.

## **Chapter 2 Planning**

### **2-1. Advance Planning.**

Commanders should include the CPO in the earliest planning stages of a RIF, TOF or closure proposal. The CPO should work closely with budget and manpower directors so that management planners will be able to assess the effect on dollars, spaces and faces from a coordinated approach. Then decision makers will be able to weigh possible alternatives before initiating a reduction or realignment action.

### **2-2. Disruption to be Expected.**

An announcement of a base closure, TOF, or RIF will have a disruptive effect on the work force and management. These disruptions may be minimized by careful planning. A local plan should be developed, outlining the sequence of events and time phasing of the planned action to assure that all actions are completed within the time period required by higher headquarters or installation commanders. (Examples of checklists and planning guidance for closure, TOF, or RIF situations are included in chapters dealing with those subjects.)

### **2-3. First Actions Required.**

*a.* Upon management's determination that a RIF, TOF or realignment is necessary, the CPO should insure that all planning is completed prior to taking any action. A team or task force should be established to accomplish the necessary RIF or TOF actions. In addition, the task force should develop and provide an effective counseling program, outplacement assistance, and a communications network for keeping the union, work force, and local community informed. Competitive levels should be reviewed during this phase. Supervisors and managers should review employees' current assignments, as a part of advance planning, to assure that position descriptions are current and that there are no mis-assignments or illegal details (AR 690-300, chap 351.1-11).

*b.* At the time management decisions are made, the effects on personnel must be considered. The Equal Employment Opportunity Officer (EEOO) should be contacted and plans made to reduce potential adverse effects on the work force. Early planning and sufficient lead time by management and personnel officials are necessary for the successful reassignment or retention of employees adversely affected by RIF or TOF.

*c.* Preparations should be made well in advance of RIF or TOF actions to cease hiring new permanent personnel in vacancies for which qualified employees potentially affected by RIF or TOF may be available.

*d.* Actions should be taken to assure that outplacement efforts receive adequate resources such as additional personnel and funds required to operate an effective program.

*e.* When special categories of employees, such as mentally retarded and physically handicapped, are to be affected, intensive efforts should be made to locate continued employment opportunities (AR 690-300, chap. 306.1-6).

*f.* Consider requesting a major RIF, transfer of function or reorganization determination for purposes of using the early optional retirement authority.

(1) The basic intent of early optional retirement authority is to minimize the severe personal hardships, agency disruption, adverse community impacts, unemployment, and loss of younger employees as a result of a major RIF, TOF, or reorganization. Therefore, the key to the success of using an early retirement authority is to fill the vacancies created by these retirements with employees affected by RIFs, reorganizations or transfers of functions. The most common concern related to the use of the early optional retirement authority is that the wrong people will retire. For example, early retirement of the Comptroller or the Civilian Personnel Officer would not be consistent with the intent

of the authority because these vacated positions would not likely be filled without competition from within the affected work force.

(2) OPM and OSD criteria for major RIF are that 5 percent or more employee separations would occur in the competitive area if the authority is not granted. Reorganization and TOF actions are normally considered major if 10 percent or more incumbered positions are abolished or transferred, or a combination thereof, and 3 percent or more separations would occur if authority is not granted.

(3) In developing requests for use of early retirement authority, first determine where the major impacts of a RIF, reorganization, or TOF will occur. If employees in certain activities, grade levels, and occupational series would not be affected, their early retirements are unlikely to save jobs for other employees. Since early retirement authority may be restricted organizationally, geographically, and by occupational series and grade level, careful planning that results in selective work force coverage should effectively serve management's needs and comply with the spirit and intent of the authority.

#### **2-4. Notifying Unions.**

Once management decisions have been made, notification to union officials having exclusive recognition should be in accordance with the locally negotiated agreement (5 USC 7106(b)(2) and (3)).

#### **2-5. Preparation of Documents for Major Reduction or Realignment Actions.**

a. Because of the impact on Army employees, their families, and communities, reduction and realignment actions generate significant interest. Those concerned with these actions include Members of Congress, State and local government, officials, labor organizations, chambers of commerce, the news media, and the general public. As a result of these interests, a number of requirements have evolved for the processing, approval, announcement, and implementation of reduction and realignment actions.

b. Thresholds for Congressional notification and HQDA/OSD approval of civilian reduction and realignment actions and detailed documentation and processing procedures are in AR 5-10. The remainder of this section is intended to—

(1) Acquaint users of this guide with the reporting and documentation requirements of AR 5-10.

(2) Focus on processing reduction rather than realignment actions, since reductions require the most extensive CPO involvement.

c. Congressional Notification. Actions that are expected to result in the involuntary separation or relocation of 50 or more permanent civilian employees require notification to Congress before public announcement and implementation. For reduction actions, the following documents should be submitted to HQDA (DAPE-CPS) WASH DC 20310 at least 30 days before the proposed date to notify Congress and make the public announcement:

(1) Realignment/Reduction Fact Sheet (RRFS). The RRFS provides a summary of the nature, rationale, and impact of the proposed action. Information on the background and mission of the installation should be included in the RRFS.

(2) Information for Members of Congress (IMC). The IMC is a transmittal document for Congress that provides a brief description of the nature of the action, changes that will result, and impacts to be expected.

(3) Draft News Release. The draft news release should be essentially identical to the IMC and will be released to the news media for announcement. Public announcement from the news media normally follows notification to Congress and announcement to labor organizations and the work force.

d. Reportable civilian reduction and realignment actions. When 300 or more civilian spaces or 10 percent of the authorized full-time permanent civilian work force, whichever is greater, are to be reduced or relocated from the installation, advance approval from DA/OSD is required. In addition to the documents needed for congressional notification actions, the following should be submitted to DA for approval of reportable reduction actions:

(1) Forwarding letter. This should describe the nature, impacts, and rationale for the action and a milestone schedule for implementation.

(2) Environmental Documentation (as appropriate). The purpose of this document is to identify and discuss direct and indirect environmental, social, and economic impacts expected to result from the proposed action. Depending on the local impact of the action, the documentation may range from a Summary Finding of No Significant Impact to a detailed Environmental Impact Statement.

(3) Equal Employment Opportunity Assessment. This reflects the potential impact of the proposed action upon women and minority group employees. It compares the expected impact on these groups with that on men and nonminority employees. If it is anticipated that women and/or certain minority group members would be disproportionately affected by the action, a short narrative must be prepared. This should explain what would be done for these employees and what results would be expected.

(4) Community Impact Analysis. This reflects the expected socio-economic effects of reportable actions within communities located near the installation.

(5) Installation Impact Analysis (IIA). When an installation is expected to be affected concurrently by two or more reportable actions, an IIA will be prepared. The IIA describes the expected cumulative effects of two or more actions occurring at a single installation during the same time frame.

e. Good reduction/realignment documentation is characterized by the following:

- (1) Provides the necessary facts to arrive at the proper decision.
- (2) Is capable of withstanding rigorous scrutiny.
- (3) Identifies and articulates feasible alternatives.
- (4) Includes firm and irrefutable resource management data.
- (5) Provides a clear audit trail.
- (6) Portrays identical data elements consistently in all supporting documents.

## **Chapter 3 Communication**

### **3-1. Initial Notification.**

*a.* When HQDA and OSD approval or clearance (if required by AR 5-10) is obtained to proceed with Congressional notification and public announcement of a RIF, TOF, or base closure action, HQDA will inform the major Army command (MACOM), which should in turn inform the installation commander. A schedule showing when Congress, unions, and the public may be notified will usually accompany the HQDA approval or clearance notification to the MACOM.

*b.* Announcement of RIF, TOF, or base closure actions is sensitive. Commanders, after informing key management officials of the pending announcement, should meet with union officials to inform them of the scheduled action. Employees should be informed immediately following union notification and before public announcement is made.

*c.* The commander's direct involvement in the notification process will reflect genuine interest in the employees and their welfare. The CPO should be present at meetings with key managers, union officials, and the work force to assist in responding to technical questions that may arise.

*d.* Release of a prepared public announcement from the Public Information Officer (PIO) to the local community via newspapers, radio, and television should follow notification to managers, unions, and employees.

### **3-2. Contents and Procedures for Notification.**

*a.* Specific requirements for notification of Members of Congress are contained in AR 5-10.

*b.* Notification to unions and employees should contain the following information:

- (1) Action planned.
- (2) Reasons for the action (provide as much detail as possible).
- (3) Effect on organizations and functions.
- (4) Effect on personnel.
  - (a)* Discussion of personnel categories involved (such as in TOF); mission or support employees.
  - (b)* Total positions affected and potential "ripple" effects on employees.
- (5) Assistance (including outplacement programs) that will be offered employees.
- (6) Assurance that actions are not performance related, and the need for continued high level of performance.
- (7) Statement of intent to keep the work force informed and to minimize disruption as much as possible.

*c.* Commanders should, whenever possible, announce RIF, TOF, and base closure actions to the work force in person. A series of group meetings may be scheduled with employees of the various affected organizations. When an exceptionally large or dispersed work force is involved, commanders may provide written communication.

*d.* When an outplacement team has been established, employees should be notified by written announcement. A sample of such an announcement is at figure 3-1.

### **3-3. Contents of Local News Release.**

The initial news release to local newspapers, radio, and television may be essentially a restatement of the HQDA or DOD release with the following additional information:

- a.* A statement of the commander's concern for the employees affected.
- b.* The intent to provide employees, who are scheduled for separation, assistance in securing employment in other DOD and Federal agencies and in private industry.
- c.* A request to local business and other organizations to assist by furnishing the installation information on job opportunities for affected employees.
- d.* A statement that subsequent news release will be provided.

### **3-4. Communication Plan.**

*a.* A plan should be established by the commander and the CPO for continuous communication throughout the period of the action. It is important that consideration be given to the needs of the various groups of affected employees before starting the communication program. The information needs of individual employees, supervisors and

managers, local unions and the community must be fulfilled on a continuing and timely basis. The most effective methods of communicating and the timetable to be followed must be determined. Past experience has proven that a sincere attitude on the part of personnel and management officials is most important to a successful communication plan. Honest, straightforward communication with the work force is a key factor in reducing turbulence, maintaining confidence in management actions, and putting an end to unfounded rumors. Communications should address and update the issues in 3-2 above. One means of communication is to issue an "outplacement newsletter" on a regular basis. It should contain information on the operation of the program, outplacement success, and vacancies in other Federal agencies and the private sector. A section in the newsletter that contains questions and answers should also prove helpful in keeping employees informed.

*b.* An essential part of the communication plan is to keep local union officials informed. Periodic meetings should be arranged with the commander, CPO, and union officials to discuss the status and progress of the RIF, TOF, or base closure. The commander should seek the assistance of union officials in keeping employees informed, dispelling rumors, and helping locate opportunities for continued employment.

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TO: All Employees

FROM: Commander

1. Effective \_\_\_\_\_ (date) Mr./Ms. \_\_\_\_\_ of the \_\_\_\_\_ is assigned to the outplacement team to coordinate outplacement services for all employees. The Outplacement Team will be located at \_\_\_\_\_, Extension \_\_\_\_\_. Office hours will be from \_\_\_\_\_ to \_\_\_\_\_ daily.

2. Although industrial firms and Federal agencies in the \_\_\_\_\_ (city) \_\_\_\_\_ area and other DOD installations already know of our (closing, reduction in force, or transfer of mission) we will take special steps to secure job opportunity information for you from them. One of the first things we will do is to contact employers in the immediate area, requesting that they refer their vacancies for \_\_\_\_\_ (installation) people who will be affected by \_\_\_\_\_. The Outplacement Team will make all contacts with these employers and advertise any vacancies for your information and interest. Job opportunities and instructions on how to apply for these various jobs will be posted on the official bulletin boards throughout the installation.

3. In addition to the local \_\_\_\_\_ (city) \_\_\_\_\_ area, we will advertise vacancy listings obtained from other government agencies throughout the country for those who may be interested in relocation.

4. The Outplacement Team will work very closely with the \_\_\_\_\_ State Employment Service in terms of job opportunities which might arise. In the past we have had very fine cooperation with these agencies, and they have assured us of their continuing efforts to help locate gainful employment for those interested.

\_\_\_\_\_  
Commander

(The information in a notice such as this should be given to all employees. Employee newsletters, Daily Bulletins, letters, DF's or other media may be used to assure receipt by all employees.)

Figure 3-1. Sample Announcement of Appointment of an Outplacement Team.

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## **Chapter 4**

### **Scope of Competition**

#### **4-1. General.**

*a.* In order to determine how employees will compete with one another for retention in their jobs, each employee must be assigned to a competitive area and to a competitive level.

*b.* A competitive area is described organizationally, geographically, or both. A small installation may be made up of a single competitive area. A large installation may be divided into several competitive areas. An installation may make its competitive areas as large as it considers appropriate. However, they cannot be smaller than the minimum prescribed by civil service regulations without prior approval of HQDA. The competitive areas may be restricted to the local commuting area. Parts of a field installation located beyond commuting distance from other parts may themselves be designated as separate competitive areas (FPM chap. 351.2-2b).

*c.* A competitive level is established by grade and types of jobs. Each competitive level consists of all jobs in the same grade of the competitive area which are so similar in all important respects that the people who occupy them could exchange jobs without serious interruption to work performance requirements. All jobs in a competitive level are similar in duties, responsibilities, pay schedule, type of appointment qualification requirements, training, skills, and aptitude. A competitive level may consist of many jobs, a few jobs, or only one job. A job that is highly specialized and not interchangeable with any other job in the competitive area would be in a competitive level by itself. Every job in a competitive area in which a RIF will occur must be assigned to a competitive level.

#### **4-2. Retention Standing.**

*a.* The names of all employees in a competitive level are listed on a retention register in the order of their relative retention standing. The relative standing is based on the four factors named in section 3502 of title 5, United States Code:

- (1) Tenure of Employment.
- (2) Military Preference (Veterans Preference).
- (3) Length of Service.
- (4) Performance Rating.

<b>COMPETITIVE AREA</b>				
	<b>COMPETITIVE LEVEL MANAGEMENT ANALYST</b>	<b>COMPETITIVE LEVEL BUDGET ANALYST</b>	<b>COMPETITIVE LEVEL SUPPLY SPECIALIST</b>	<b>COMPETITIVE LEVEL EQUIPMENT SPECIALIST</b>
<b>GS-12</b>	I AD _____	I A _____	I B _____	I A _____
	I A _____	II AD _____	II A _____	I B _____
	I B _____	II A _____		
	II A _____	II B _____		
<b>GS-11</b>	I A _____	IA _____	I AD _____	I A _____
		I B _____	I A _____	I B _____
	II B _____		I B _____	II A _____
			III B _____	III A _____
<b>GS-9</b>	I A _____	II A _____	I A _____	I B _____
	I B _____		I B _____	II A _____
	II AD _____		II A _____	II B _____
	II B _____		II B _____	III A _____
	III A _____			

Figure 4-1. Employee Ranking on a Retention Register

b. Tenure of employment determines the employee's retention group.

(1) Career employees are in tenure group I. Supervisory or managerial employees serving a period under FPM chapter 315, subchapter 9, are in tenure group I if otherwise eligible to be included in this group.

(2) Career-conditional employees and employees serving a probationary period for competitive appointment are in tenure group II (FPM chap 315.8). Supervisory or managerial employees who have not completed a probationary period required by FPM chapter 315.8 are also in this tenure group.

(3) Employees serving on indefinite appointments, temporary appointments pending establishment of a register (TAPER), term appointments, other nonstatus, nontemporary appointments, and employees in status quo are in tenure group III.

c. Veterans preference determines the employee's subgroup. Within each tenure group, subgroup AD, A, or B is identified. Subgroup AD includes each veterans preference employee who has a compensable service-connected disability of 30 percent or more. Subgroup A includes each preference employee not included in subgroup AD. Nonpreference employees are in subgroup B. Employees who are retired from the Armed Forces do not receive veterans preference for RIF purposes unless they meet the requirements of FPM chapter 351, paragraph 2-4d. In each subgroup employees are ranked in the order of their length of service. Employees with the earliest service dates and adjustments for extra-service credit based on performance ratings have the highest retention standing.

d. A current exceptional performance rating is worth 4 additional years of service. As an example of the way this works, a career nonveteran with 4 years of service and an exceptional rating would have the equivalent of 8 years of service and would have higher retention standing than other career nonveterans with fully satisfactory ratings and 5, 6, or 7 years of service.

e. When employees in a competitive level are ranked on the retention register, the descending order of retention shows them in the following order (combining tenure group and subgroup into a retention category), starting at the top:

- (1) Category IAD-career veterans with a disability of 30 percent or more in order of adjusted length of service.
- (2) Category IA-other career veterans.

- (3) Category IB—career nonveterans.
  - (4) Category IIAD—veterans with a disability of 30 percent or more and who are on career—conditional or probationary appointments.
  - (5) Category IIA—other veterans with career—conditional or probationary appointments.
  - (6) Category IIB—nonveterans with career—conditional or probationary appointments.
  - (7) Category IIIAD—veterans with a disability of 30 percent or more on indefinite, term, TAPER, or other nonstatus, nontemporary appointments, or those in status quo.
  - (8) Category IIIA—other veterans with indefinite, term, TAPER, or other nonstatus, nontemporary appointments, or those in status quo.
  - (9) Category IIIB—nonveterans with indefinite, term, TAPER, or the nonstatus, nontemporary appointments, or those in status quo.
- f.* Noncompeting employees. The following employees do not compete in RIF:
- (1) Employees serving on temporary appointments with specific time limitations;
  - (2) Reemployed annuitants serving at the will of the appointing officer;
  - (3) Employees with unsatisfactory performance ratings who have been issued decision letters of removal under adverse action procedures (AR 690–300, chap 351.6–4d). Noncompeting employees do not appear on the retention register with competing employees. They are listed separately and the list is attached to the register. Noncompeting employees must be removed or terminated before any competing employees are released from their competitive level by a RIF action.

#### **4–3. Order of Release from Competitive Level.**

*a.* In the normal order of release from the competitive level, no employees are released unless everyone below them on the retention register is released. This means that everyone in category IIIB must be released before anyone in category IIIA, IIIAD or higher categories. Everyone in group III must be released before anyone in group II, and so on, up the register from the bottom. If some, but not all, must be released from a particular category, the ones to go are those with the shortest service. The ones to be retained are those with the longest service, as adjusted by performance ratings.

*b.* Service credit is figured down to the day, so that a person with 6 years, 10 months, and 3 days of service will stand higher on the register than one with 6 years, 10 months, and 2 days. When two or more employees in the same category have exactly the same amount of service, a tie breaking procedure should be developed for release of employees. The method to be used should be determined and made a matter of record before the RIF take place.

*c.* In some circumstances exceptions to the normal order of release from the competitive level may be required or permitted as follows:

- (1) Employees with retention priority based on restoration after military service who are within reach for RIF will be temporarily passed over and will not be affected until completion of their statutory retention period. This has the effect of floating them to the top of their category.
- (2) To permit the temporary retention of a lower standing employee on sick leave when conditions warrant.
- (3) In instances where the release of an employee would materially impair the operations of an installation, continued retention is permitted.

*d.* Employees in group I or group II reached for release from their own competitive level may not be separated or furloughed if they qualify for a job in another competitive level that is held by an employee they may displace. The two means by which an employee may displace another employee in a different competitive level are by bumping and retreating.

(1) Bumping. An employee may displace (bump) another employee in a lower subgroup or category if the second employee holds a job for which the first employee qualifies. An employee must meet OPM standards and qualification requirements, including any minimum education requirements, to bump an employee occupying a different grade or type of job in another competitive level. The employee must also have the capacity, adaptability, and any special skills required to satisfactorily performing, without undue disruption of the activity, the duties and responsibilities of the job. Every group I and group II employee reached for release must be matched against every continuing job of the same grade or lower grade that is held by someone with lower retention standing. When there are jobs in different pay systems, such as the General Schedule (GS) and wage system schedules (WG, WL, WS), the employee who is affected must be considered for jobs with the same (or lower) representative rate as the job currently held. The representative rate of GS jobs is the fourth step of the grade. The representative rate of wage schedule jobs is the second step of five–rate regular schedules (FPM Supplement 532–1, para 8–2a (6)). An employee is entitled to a job of the same grade or with the same representative rate if possible. If he must be changed to a lower graded position, it must be to a position that constitutes the least reduction in representative rate. The bumping process works as follows:

- (a) A IAD employee may bump a IA, IB, or anyone in group II or III, but may not bump another IAD.
- (b) A IA employee may bump a IB or anyone in group II or III, but may not bump another IA.
- (c) A IB employee may bump a group II or III, but not another IB.



- (d) A IIAD employee may bump a IIA, IIB, or anyone in III but not another IIAD.
  - (e) A IIA employee may bump a IIB or any group III but not another IIA.
  - (f) A IIB employee may bump a group III, but not another IIB.
  - (g) Employees in group III are given no right to displace other employees. MACOMs or installations may use the authority for administrative assignment of employees in tenure group III as provided by AR 690-300, chapter 351, paragraph 7-8.
- (2) Retreating. Displacement by retreat means placing an employee in a job (or similar job) from or through which he was promoted. The job need not have been held at the current employing activity. Placement by retreating is not allowed if an employee can bump another employee in a lower subgroup. An employee may retreat to a job if—
- (a) He is still qualified to perform the duties of the job.
  - (b) The job is held by someone in the same subgroup, and
  - (c) He has longer service than the person holding the job.
- e. When there is no one whom an employee can displace, he may be separated or furloughed.

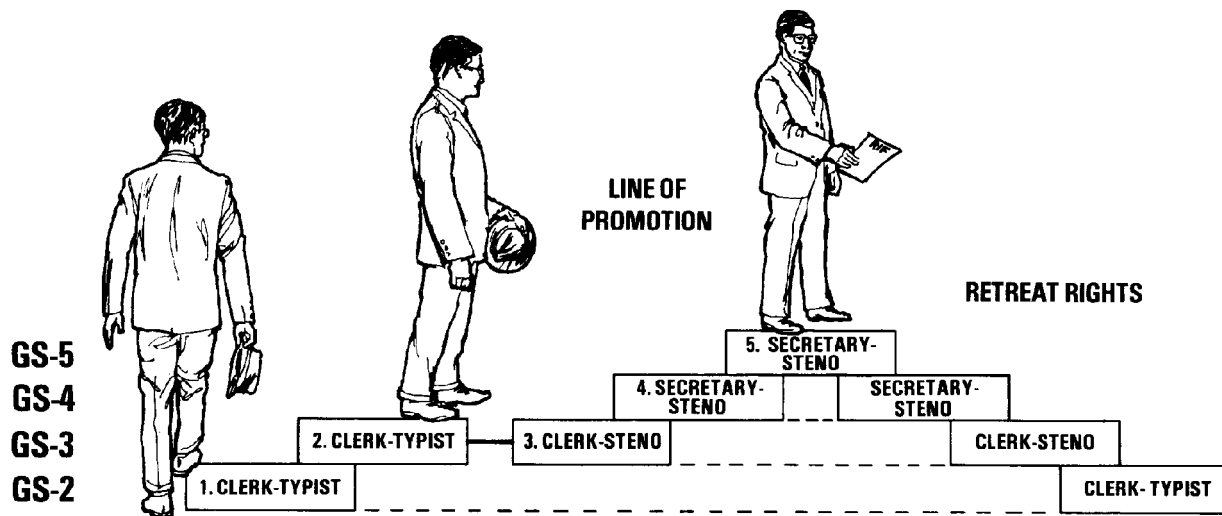


Figure 4-2. Retreating

## Chapter 5 Reduction in Force

### 5-1. Planning Guidance for RIF.

Figure 5-1 is a sample plan of action that may be used as desired by an activity planning a RIF. The sequence of events is not all-inclusive or sacred. (It should be modified as necessary to meet the local situation.)

### 5-2. RIF Teams.

If more than one person is working on a RIF, a RIF team or RIF coordinator should be assigned. The name, title, grade, telephone number of the RIF team or Coordinator should be published to management, unions, and employees.

a. An example, based on past successful experience, of how a typical RIF team of four people may function is as follows:

- (1) A journeyman staffing specialist to run the RIF trail and to make the technical decisions on release from competitive level, assignment rights, grade retention, severance pay, etc.
- (2) A staffing assistant to make qualification determinations of persons released from or displaced from their competitive levels, as requested by the staffing specialist.
- (3) A clerical assistant to maintain and control official personnel folders (OPF).
- (4) A Senior Staffing Specialist to audit each action as it is completed by the journeyman and to identify the proper prepared notice for that particular employee.

b. The RIF team described in a above should be able to conduct a RIF affecting 75 to 200 employees. Fewer members may be needed for a smaller RIF and more for a larger one. Regardless of the size of the RIF team, only one person should be responsible for the actual RIF trail. This same person should also be the one to meet and explain the individual actions to affected employees and their union representatives. Large RIFs, however, may require two or more individuals to accomplish these tasks.

### **5-3. Checklist for RIF Actions.**

The RIF Plan of Action in figure 5-1 outlines the broader activity wide planning actions that should be considered prior to the actual conduct of the RIF. Figure 5-2 is a checklist for personnel specialists and goes through the step-by-step process of conducting the RIF. There may be additional steps necessary as a result of a peculiar local situation (such as a provision in a negotiated agreement) that may dictate adding or deleting steps. Figure 5-3 is a sample worksheet which can be used in recording all data pertinent to an individual RIF action.

### **5-4. Notice to Employees.**

a. Specific information that must be provided to employees in a RIF notice is in section 351.802 of the OPM regulations (FPM Supp 990-1, Book III). Sample letters that can be applied to most RIF actions are included in appendix B. Since these sample letters were developed for general use and guidance, it must be recognized that local situations will differ. Therefore, take care to assure that sample letters are properly modified to meet existing situations. A checklist for preparing RIF notices is included at figure 5-4. RIF notices to veterans who have a compensable service-connected disability of 30 percent or more, and are considered preference eligible employees for RIF purposes, should reflect that the employees are in the retention category AD. This places them above subgroup A employees in retention standing. A severance pay computation worksheet is at figure 5-5.

b. Notice Period.

(1) Career and career-conditional employees affected by a RIF or TOF outside the commuting area will be given advance notice of at least 60 calendar days in a work status. In addition, such employees receiving an advance notice of separation will, upon their request, be carried in an annual leave or leave without pay status for the added time necessary to provide a 90-day notice period prior to separation. These employees will be dropped from strength, however, at the end of the 60-day period.

(2) A shorter RIF notice period, but not less than 30 days in a work status, may be authorized under conditions described in AR 690-300, chapter 351, subchapter 8. Past experience has shown that approval of requests for notice periods less than 60 days is rare. Such requests, therefore, should be kept to a minimum.

(3) When employees are involved in a TOF within the commuting area and there is no need for RIF actions at the gaining activity, they need only be given a 30-day notice.

(4) The local appointing officer may approve RIF notice periods from 90 to 180 days. Requests to extend RIF notice periods beyond 180 days may be approved by the level above the appointing authority. In cases where the local appointing officer has approved RIF notice periods up to 180 days, approval must be obtained from higher authority for any advance notice period (including leave requested by the employee) which will exceed 180 days.

(5) The initial 60-day notice period in a duty status need not be extended if a specific notice is amended resulting in more favorable action for the employee. If the amendment results in more severe action; e.g., from change to a lower-graded position to separation, a new 60-day specific notice is required. Employees, who initially accept functional transfer and then decline during the last 30 days of the notice period, need only be given a 30-day advance notice of separation through adverse action procedures.

(6) Employees in retention group III (i.e., term appointments, TAPER, etc.), will also be given the 60-day advance notice. Major commanders may authorize a shorter notice period, if necessary, but not less than 30 days in a work status.

(7) Temporary employees serving under appointments limited to 1 year or less and reemployed annuitants serving "at the will of the appointing officer" should receive as much notice of termination as possible, normally 7 calendar days.

c. Advance planning for RIF and TOF should take notice requirements into account and assure that established milestones provide for full notice periods. RIF and other termination notices that provide an effective date during 15 December through 3 January will not be used, nor will such notices be delivered to employees during this period. (See DOD 1400.20-1-M.)

### **5-5. Employee Rights and Benefits.**

a. *Optional Retirement.* An employee under the civil service retirement system is eligible for optional retirement on an immediate annuity if he—

(1) Has been employed under the retirement system for at least 1 year during the 2-year period immediately preceding the separation on which the annuity is based.

(2) Meets any of the following requirements:

(a) Is age 62 and has 5 years of civilian service.

(b) Is age 55 and has 30 years of creditable service, including 5 years of civilian service.

(c) Is age 60 and has 20 years of creditable service, including 5 years of civilian service.

b. Major RIF Retirement Option. If OPM has determined that an agency is undergoing a major RIF, TOF, or reorganization, an employee is eligible earlier than normal for optional retirement on an immediate annuity. The employee must—

(1) Have served under the retirement system for at least 1 year during the 2-year period immediately preceding the separation on which the annuity is based.

(2) Be on the agency's rolls 30 calendar days before the date of the agency's initial request to OPM for the determination.

(3) Meet either of the following requirements:

(a) Be age 50<sup>1</sup> and have 20 years of creditable service, including 5 years of civilian service.

(b) Have 25 years of creditable service (with no age requirement(insert footnote 1)) including 5 years of civilian service.

The employee's retirement is treated as voluntary rather than involuntary due to discontinued service.

c. Discontinued Service Retirement. An employee under the retirement system who is involuntarily separated from the service is entitled to an immediate annuity if he has been employed under the retirement system for at least 1 year within the 2-year period immediately preceding the separation on which the annuity is based and meets either of the following requirements:

(1) Is age 50 and has 20 years of creditable service, including 5 years of civilian service.

(2) Has 25 years of creditable service (with no age requirement(insert footnote 1)) including 5 years of civilian service.

d. Deferred Retirement. A separated employee who does not meet the requirements for an immediate annuity is entitled to a deferred annuity to commence at the age of 62 if the individual—

(1) Has completed at least 5 years of civilian service.

(2) Has been employed under the retirement system for at least 1 year within the 2-year period preceding separation. The employee should be advised that application for retirement (SF 2801) should not be submitted earlier than 3 months before the attainment of age 62.

e. Refund of Retirement Deductions. Employees separated from the service may receive a refund of their lump-sum credit providing their separation occurs and application for refund is filed with OPM at least 31 days before the commencing date of any annuity for which they may be eligible. The receipt of lump-sum credit voids all annuity rights unless and until the individual is reemployed in a position subject to the retirement system. The period covered by refund cannot be credited for annuity computation purposes until redeposit has been made. An employee who is separated from the service may elect to leave his lump-sum credit in the fund. There is no advantage in doing so for employees who have less than 5 years of creditable civilian service if they do not contemplate returning to Government service.

f. Computation of Annuity. The amount of annuity payable depends primarily upon length of service and the high-3 average salary. The annuity may be reduced because of retirement before age 55, failure to make deposit for service during which no retirement contributions were made, and election of a survivor-type annuity. The annuity may be increased by reason of voluntary contributions and Panama Canal and Alaska Railroad construction service.

(1) The basic annuity under the general formula is obtained as follows:

- Step 1. Take 11/2 percent of the high-3 average salary and multiply the result by service up to 5 years.
- Step 2. Add 13/4 percent of the high-3 average salary multiplied by number of years of service that exceeds 5 years but does not exceed 10 years.
- Step 3. Add 2 percent of the high-3 average salary multiplied by all service over 10 years.

(2) Following is an illustration of basic annuity computation for an employee who has completed 26 years of creditable service and whose high-3 average salary is \$16,709 per annum:

1½% x 5 years of service	_____	\$1,253.18
1½% x 5 years of service	_____	\$1,462.04
2% x 16 years of service	_____	\$5,346.88
Basic annual annuity	_____	\$8,062.10

(Basic annual annuity does not include deduction for retirement before age 55, election of survivor type annuity, deduction for continued health coverage, or optional life insurance where applicable.)

g. Severance Pay Information. Employees who are separated by RIF and are otherwise eligible for severance pay are entitled to it under provisions of FPM Supplement 990-2, Book 550, and implementing DA regulations. Generally,

<sup>1</sup> For employees under age 55, the annuity is reduced by 1/6 of 1 percent for each full month (2 percent a year) the employee is under age. The annuity rate is not adjusted when the annuitants age 55.

permanent employees who are involuntarily separated and have been continuously employed for a period of at least 12 months prior to separation are entitled to severance pay. Exceptions are employees removed for cause, charges of misconduct, delinquency, or inefficiency.

(1) The computation of severance pay consists of two elements: a basic severance allowance and an age adjustment allowance.

(a) The basic severance allowance is computed on the basis of 1 week's basic compensation at the rate received immediately before separation for each year of civilian service up to and including 10 years; plus 2 weeks basic compensation at such rate for each year of civilian service beyond 10 years for which severance pay has not been received under this or any other authority. In computing total years of creditable civilian service, the employee will be credited with each full year and 25 percent of a year for each 3 months of creditable service.

(b) The age adjustment allowance is computed on the basis of 10 percent of the total basic severance allowance for each year by which the age of the employee exceeds 40 years at the time of separation. Employees will be credited with 25 percent of a year for each 3 months that their age exceeds 40. The total severance pay received will not exceed 1 year's pay at the rate received immediately before separation. (See severance pay computation sheet at fig 5-5.)

(2) If an employee is reemployed by the Federal Government or the municipal government of the District of Columbia in a career or career-conditional appointment before the expiration of the period covered by payments of severance pay, the payments will be discontinued beginning with the date of reemployment. Reemployment in a temporary limited appointment will interrupt or defer severance pay until such appointment is terminated.

(3) There is a lifetime 52-week limit on the number of weeks an employee can be entitled to severance pay. OPFs of employees eligible for severance pay should be reviewed to determine whether severance pay was previously received.

(4) Employees eligible to retire under any of the conditions outlined above or who will attain such eligibility prior to the effective date of the RIF action, will not be entitled to severance pay.

(5) Lump-sum payments for annual leave in no way affect entitlement to severance pay.

(6) Severance pay is not authorized when offer of an equivalent position is declined within DOD in the same commuting area. An equivalent position is one with like tenure, and pay (other than retained rate).

(7) Other exceptions to severance pay entitlement are contained in FPM Supplement 990-2, book 550, subchapter 7.

(8) Severance pay entitlement of employees affected by conversion to contract as a result of reviews under the Commercial Activities (CA) program deserves special mention. Employees affected by conversion to contract are denied severance pay in two situations:

(a) If they have been offered "comparable" employment with the contractor (whether or not they accept the employment), or

(b) If they accept any job with the contractor within 90 days from the date of conversion.

In determining whether the contractor is offering comparable employment, consider not only the level of pay offered, but the leave benefits, health and life insurance benefits, and retirement benefits that are included. The Army's experience has been that in almost all cases, employment offers by contractors have not constituted offers of comparable employment; however, in those instances where the offered employment appears to be comparable, all pertinent information should be sent through channels to HQDA (PECC-FSS), 200 Stovall Street, Alexandria, VA 22332, for a determination.

#### *h. Health Benefits.*

(1) A separated employee who is enrolled in the Federal Health Benefits Program will receive a Standard Form 2810 (Notice of Change in Health Benefits Enrollment). This form indicates that the enrollment is terminated and that the employee will have 31 days from termination of enrollment or 15 days from the date the SF 2810 is signed (whichever allows the most time) to convert enrollment to a nongroup contract.

(2) A retiring employee may elect to continue health benefits coverage as an annuitant with no change in benefits and Government contributions. The cost may be deducted from the annuity payments. To continue health benefits coverage, the employee must meet all of the following requirements:

(a) Has had at least 5 years of creditable service.

(b) Retired on an immediate annuity (an annuity which begins to accrue no later than 1 month after the date of final separation).

(c) Has been enrolled in a plan under the Health Benefits Program during

The 5 years of service immediately preceding retirement; or

All service since first opportunity to enroll; or

All service on or before December 31, 1964.

(d) The annuity is sufficient to cover the withholding required as the employee's share of the cost of enrollment.

#### *i. Life Insurance.*

(1) Separated employees who have basic Federal Employees Group Life Insurance (FEGLI) coverage will receive a Standard Form 2819 (Notice of Conversion Privilege), or Standard Form 2821 (Agency Certification of Insurance

Status). These forms fully explain the right to convert to an individual policy. If an employee wishes to convert, the SF 2821 must be sent to the Office of Federal Employees Group Life Insurance within 31 days after the insurance stops, or within 15 days after notification of the conversion privilege (whichever allows the most time).

(2) Retiring employees will be eligible to continue basic life insurance (not accidental death and dismemberment) if all of the following conditions are met:

(a) The employee retires on an immediate annuity (one which begins to accrue no later than 1 month after the date of final separation).

(b) There is no conversion to an individual policy when the basic life insurance as an employee would otherwise cease.

(c) The employee had been insured under the FEGLI Program for the 5 years of service immediately preceding retirement, or the full periods of service during which the basic life insurance was available, if less than 5 years. The cost of post-retirement coverage depends upon the level of protection the employee wants to retain after reaching age 65. At the time of retirement the employee will receive a Standard Form 2818 (Election of Post-Retirement Basic Life Insurance Coverage), which provides a choice of three levels of coverage. If the employee elects to retain 25 percent of the basic insurance amount after reaching age 65, there is no cost. If he elects either 50 percent or 100 percent of the basic insurance amount, the full cost of the additional protection will be deducted from the employee's annuity. The withholdings begin at retirement and continue for life or until the election is cancelled.

(3) Retiring employees may also retain optional insurance (not accidental death and dismemberment) if they are eligible to continue basic life insurance. In addition, the optional insurance must have been in force for not less than 5 years preceding retirement; or the full periods of service during which the optional life insurance was available, if less than 5 years. The cost of optional insurance will be deducted from the annuity payment.

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## RIF Plan of Action

*In developing your own local plan of action, it is recommended that, where appropriate, dates for completion of the various tasks be assigned. This plan of action should lay down the responsibilities of the CPO branches and set out the various tasks.*

a. *Purpose.* To establish a plan of action to accomplish an orderly reduction in force tentatively scheduled during \_\_\_\_\_.

b. *Objective.*

(1) To complete competitive level study; establish required retention registers for all pay categories in the competitive area; review for adequacy and accuracy proposed notices of RIF and other separation notices for affected employees; and complete actions in final form.

(2) To provide placement assistance to all employees affected by RIF.

c. *Plan of Action:*

(1) The CPO will designate a RIF Team or Coordinator. (See para 5-2, for typical duties of the RIF Team and/or Coordinator.)

(2) CPO will designate an outplacement team to coordinate outplacement services. An equal employment opportunity action officer (EEOAO) should also be designated to review RIF effects on minorities, handicapped, etc.

(3) The Chief, Position and Pay Management (P&PM) in coordination with the Chief, Recruitment and Placement (R&P), will review current competitive levels which may be affected no later than \_\_\_\_\_.

(4) The Technical Services Officer will provide typewritten or automated retention registers for all competitive levels within the competitive area. Registers will be completed no later than \_\_\_\_\_ and accurately maintained thereafter.

(5) The Chief, R&P, will assure that complete drafts of proposed notices to affected employees are prepared and that notices and any required attachments are accurate and adequate. Drafts should be coordinated with those members of the Civilian Personnel Office who have technical expertise in RIF administration. Review should be completed by \_\_\_\_\_.

(6) Drafts of all notices, approved by the Chief, R&P, will be typed in final form by members of the Technical Services Office (TSO) or word processing unit. Master copies of each type of notice should be completed and enough copies should be requested to insure an adequate supply no later than \_\_\_\_\_.

(7) Other members of the CPO staff will be detailed to assist the R&P staff as required. Official details should be effective \_\_\_\_\_. These staff members should be oriented in matters concerning severance pay (eligibility, computation, etc.), discontinued service retirement, retention register standing, bumping and retreat rights, placement assistance programs, and other matters involved in counseling employees affected by RIF.

(8) In coordination with the Director of Resources Management (or equivalent), the Chief, R&P will arrange for details of additional clerical personnel to assist the CPO in carrying out the RIF.

Figure 5-1. Suggested Outline for RIF Plan of Action

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*d. Publicity.*

(1) When authority and clearance have been received to conduct a RIF, the Director \_\_\_\_\_ Region, Office of Personnel Management (OPM) will be informed. The information provided to OPM will include, as a minimum, the number of employees affected by RIF, their types of appointments, and occupational skills involved. DOD Priority Placement Program Zone and Regional Coordinators should also be advised.

(2) Other large Federal activities in the area will also be advised of this RIF, i.e., \_\_\_\_\_, \_\_\_\_\_, \_\_\_\_\_, in order to locate placement opportunities.

(3) The outplacement team or RIF coordinator will contact local business firms in the private sector to develop job opportunities.

(4) The State Employment Service will be informed of the number of employees affected and occupational skills available.

(5) In a foreign area, information will be furnished the American Embassy regarding employees, local nationals, third-country nationals, and US citizens to be displaced. Whenever possible, announcements should be made at least 6 months in advance.

*e. Counseling.*

(1) The Commander will initially inform union representatives if the RIF impacts on their bargaining unit, and then meet with employees to discuss the reasons for the action, the extent of the reduction, proposed effective dates, and placement assistance being provided by the CPO, other Federal agencies, and private industry.

(2) The CPO will follow the commander's announcement with a detailed explanation of RIF procedures, rights of employees affected, placement assistance, and all other subjects of concern to employees affected by the RIF.

(3) Employees will be counseled by a representative of the CPO as soon as it is known what specific RIF action affects them, e.g., change to lower graded position or separation.

*f. Placement Assistance.*

(1) Eligible employees will be entered on the Reemployment Priority List maintained by the Area Placement Coordinator.

(2) Forms for employees eligible as registrants in the DOD Priority Placement Program (voluntary and mandatory registrants) for employment in the local area and other areas will be completed by the CPO as soon as the affected employees priority can be determined.

(3) As soon as it is determined that an employee will be scheduled for separation by RIF, the CPO will register the employee in the OPM Displaced Employee Program.

*g. Records.*

(1) The TSO will assure that on date of separation employees receive, as a minimum, the following documents:

(a) SF-8, Notice to Federal Employee about Unemployment Insurance.

(b) SF 50, Notification of Personnel Action (if possible).

(c) SF 2821, Agency Certification of Insurance Status.

Figure 5-1. Suggested Outline for RIF Plan of Action—continued

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(d) SF 2810, Notice of Change in Health Benefits Enrollment.

(e) SF 2815, Employee Service Statement.

(2) The TSO will insure that personnel folders are properly maintained during the required retention period.

*h. References.*

(1) AR 690-300, chapter 351.

(2) FPM chapter 351.

(3) AR 5-10.

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Civilian Personnel Officer

Figure 5-1. Suggested Outline for RIF Plan of Action—continued

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### Checklist for RIF Actions

The following is a list of typical actions that take place during a RIF. This checklist is intended to serve as a guide to insure that all bases are covered:

- (1) Review competitive areas and levels for adequacy and accuracy.
- (2) Review employee assignments to assure position descriptions are accurate and current and that employees are not illegally detailed or misassigned.
- (3) Review and verify the service computation dates (SCD) of all affected employees.
- (4) Identify positions to be abolished by title, series, grade, job number, organizational entity, and name of incumbent, as appropriate.
- (5) Review and verify entitlement to veterans preference.
- (6) Establish ground rules and record them, e.g., use of vacancies, waivers of qualifications, and tie-breaking procedures before the RIF begins. Consider setting permanent ground rules. These should be stated in the local RIF policy to avoid varying procedures from RIF to RIF.
- (7) Assure that any performance rating that exceeds fully satisfactory that is approved after the issue date of specific RIF notices is not credited toward retention standing.
- (8) Determine if there is a need to freeze vacancies and inservice placement actions. Assure that all personnel actions are routed through the RIF team/coordinator for clearance. Determine if temporary hires, temporary promotions, and details should be made to accomplish essential missions as positions are vacated through retirement, outplacement, etc.
- (9) Establish effective date of RIF.
- (10) Review regulations on retirement, severance pay, grade and pay retention, etc.
- (11) Identify employees who meet optional and discontinued service retirement eligibility in the affected competitive areas.
- (12) Annotate retention registers to identify each position to be abolished. Vacancies in each competitive level may be posted on a working copy of the retention register below the lowest standing employee. Any employee occupying a position to be abolished may be moved to a vacancy in the competitive level without displacing another lower standing employee.
- (13) Obtain copies of current pay schedules and prepare a representative rate chart.
- (14) Obtain OPF of affected employees.
- (15) Develop RIF letters. Determine necessary inclosures, and revise as necessary. Have this material prepared in final form and send to reproduction for preprinting.
- (16) Make a thorough review of the OPF for each affected employee. Enter at least the following information on a work sheet (see sample RIF Work Sheet, fig. 5-3): Name, title, grade, salary, DOB, SCD, retention subgroup, civil service positions held, retreat rights, and any other qualifying experience regardless of where or when it was obtained. This information should be included in a RIF folder for each employee.
- (17) Arrange folders and make a listing (using either a separate card for each employee or ledger sheets) of employees ranked in retention order.

Figure 5-2. Checklist for RIF Actions

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(18) Start with the employee with the highest retention standing who has been reached for release from his/her competitive level. Consider the employee's assignment rights to vacancies (if command or local policy provides for such) and through displacement by bumping and retreating. As the RIF proceeds, released and displaced employees are listed based on their relative retention standing for consideration at the next level.

(19) As employees are reached for release from their competitive levels, list them in proper retention order and proceed as described in items (16) through (18) above.

(20) Maintain an accurate and up-to-date record of actions taken and decisions made on each employee. (Use the card or ledger sheet mentioned in item 17).

(21) Make determinations on grade and pay retention and severance pay eligibility. (Retirement eligibles should have been identified per item 11.)

(22) Deliver RIF letters. Supervisors should deliver RIF letters to employees. A series of group meetings may be held to deliver the letters. Each group meeting should include a CPO representative to answer technical RIF questions and a management official to explain the reasons for the RIF. Union and EEO officials should also be invited to attend these meetings.

Supervisors who are to be issued RIF letters should receive them prior to meetings with employees. When letters are delivered, employees should sign one copy, acknowledging receipt, and return it to the CPO.

(23) Set up a counseling schedule. In making appointments, first consider counseling those employees most seriously affected (e.g., separation) by the RIF. Also, provide separate sessions on retirement counseling.

(24) Repeat steps 16 and 22 as offers are declined, new vacancies are received, or anything else happens that affects previous determinations.

(25) Be sure all employees scheduled for separation and change to lower graded positions are entered in the various placement programs. Employees in DA civilian career programs should also be registered for special reassignment consideration. (See AR 690-950-1.)

(26) Contact other Federal agencies and solicit their assistance in placing surplus employees.

(27) Check and recheck everything.

(28) Retain all work sheets and notes because they will be needed if the employee appeals or files a grievance.

Figure 5-2. Checklist for RIF Actions—continued

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RIF WORKSHEET

NAME: _____		DOB: _____
TITLE, SERIES, GRADE: _____		RETENTION SUB-GROUP: _____
_____		SCD: _____
ORGANIZATION: _____		CL: _____
RETREAT RIGHTS TO: _____		
RIF REASON: ( ) Job Abolished		
( ) Bumped by _____		
Title, Series & Grade _____		
Organization _____		
QUALIFICATION SUMMARY:		
DISPOSITION: ( ) Separate		
( ) Rsgn ( ) Vacant ( ) Bumped _____		
( ) CLG ( ) Vacant ( ) Bumped/Retreat to _____		
Title, Series & Grade _____		
(Grade and salary should be determined and shown regardless of eligibility for grade and pay retention.)		
Organization _____		
ELIGIBLE FOR GRADE AND PAY RETENTION: ( ) YES ( ) NO		
ELIGIBLE FOR SEVERANCE PAY (if separation action): ( ) YES ( ) NO		
ELIGIBLE FOR DISCONTINUED SERVICE RETIREMENT: ( ) YES ( ) NO		
REMARKS:		

Figure 5-3. RIF Worksheet

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**CHECKLIST—RIF NOTICES**  
**(GROUP I AND GROUP II EMPLOYEES)**

Required information for notices resulting from reduction in force actions:  
(Select appropriate items for type of action involved.)

1. Specific action (Separation; Change to Lower Grade Reassignment; etc.) that is proposed.

2. Reasons for the reduction in force (e.g., reduction in manpower authorizations, reorganization, etc.). A statement that the action affecting the employee is due to application of reduction in force procedures.

3. Title, grade, and salary of current official position (include retained grade and pay, if appropriate).

4. Description of Competitive Area.

5. Competitive Level (including title or title of positions covered or code or symbol to identify retention register).

6. Retention Subgroup.

7. Service Computation Date.

8. The position title, grade, salary and location of any position offered to employee, or the reason why no offer can be made.

9. Reasons for any exception to retention order.

10. Effective date of proposed action. Does it provide a full 60 days in duty status? (Do not count the date the employee receives notice in the 60-day advance notice period). The 60th day may not fall on a Saturday, Sunday, or legal holiday.

11. Last day of active duty in current position.

12. Option of employee scheduled for separation to request a 30-day extension to notice period in annual leave or leave without pay status.

13. Accessibility to employee of retention registers, reduction in force regulations and records, and when, how, and where the employee may inspect them.

14. Name and location of civilian personnel specialist to contact for counseling.

15. Appeal and grievance rights. Show how, where, and time frame within which employee may appeal the action or file a grievance under negotiated grievance procedure, as appropriate. If the employee may appeal, a copy of the Merit Systems Protection Board regulations must accompany the RIF letter.

16. Disposition of annual leave accumulation.

17. Grade and pay retention information:

a. Eligible employees—give grade, rate of pay, and duration of retention.

b. Employees ineligible for grade retention—give reasons why employees is not entitled.

18. Severance Pay eligibility.

19. Additional information concerning eligibility of group I and group II employees scheduled for separation for priority placement consideration under the following programs:

Army Reemployment Priority List  
DOD Priority Placement Program  
OPM Displaced Employee Program

Figure 5-4. Checklist—RIF Notices (Group I And Group II Employees)

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20. Effect of resignation or election of discontinued service retirement on employee's eligibility for DOD Priority Placement Program and the Office of Personnel Management Displaced Employee Program.

21. Expression of appreciation for service rendered by employee.

22. Inclosures. Acceptance or declination of offer form, methods for calculating severance pay or retirement annuity, supplemental information on grade/pay retention, MSPB regulations, etc.

Figure 5-4. Checklist—RIF Notices (Group I And Group II Employees)—continued

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**SEVERANCE PAY COMPUTATION**

1. NAME:																																									
2. TITLE, CODE, GRADE AND STEP:																																									
3. AGE: <table style="margin-left: 20px; border-collapse: collapse;"> <tr> <td></td> <td align="center"><u>Yrs</u></td> <td align="center"><u>Mos</u></td> <td align="center"><u>Days</u></td> </tr> <tr> <td>a. Sep Date</td> <td align="center">___/</td> <td align="center">___/</td> <td align="center">___/</td> </tr> <tr> <td>b. Date of Birth</td> <td align="center">___/</td> <td align="center">___/</td> <td align="center">___/</td> </tr> <tr> <td>c. Age on Date (a minus b)</td> <td align="center">___/</td> <td align="center">___/</td> <td align="center">___/</td> </tr> </table>		<u>Yrs</u>	<u>Mos</u>	<u>Days</u>	a. Sep Date	___/	___/	___/	b. Date of Birth	___/	___/	___/	c. Age on Date (a minus b)	___/	___/	___/	4. CREDITABLE SERVICE: <table style="margin-left: 20px; border-collapse: collapse;"> <tr> <td></td> <td align="center"><u>Yrs</u></td> <td align="center"><u>Mos</u></td> <td align="center"><u>Days</u></td> </tr> <tr> <td>a. Sep Date</td> <td align="center">___/</td> <td align="center">___/</td> <td align="center">___/</td> </tr> <tr> <td>b. Service Computation Date</td> <td align="center">___/</td> <td align="center">___/</td> <td align="center">___/</td> </tr> <tr> <td>c. Total Service (a minus b)</td> <td align="center">___/</td> <td align="center">___/</td> <td align="center">___/</td> </tr> <tr> <td>d. Non-creditable Mil Svc</td> <td align="center">___/</td> <td align="center">___/</td> <td align="center">___/</td> </tr> <tr> <td>e. Total Creditable Svc for Severance Pay (c minus d)</td> <td align="center">___/</td> <td align="center">___/</td> <td align="center">___/</td> </tr> </table>		<u>Yrs</u>	<u>Mos</u>	<u>Days</u>	a. Sep Date	___/	___/	___/	b. Service Computation Date	___/	___/	___/	c. Total Service (a minus b)	___/	___/	___/	d. Non-creditable Mil Svc	___/	___/	___/	e. Total Creditable Svc for Severance Pay (c minus d)	___/	___/	___/
	<u>Yrs</u>	<u>Mos</u>	<u>Days</u>																																						
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c. Age on Date (a minus b)	___/	___/	___/																																						
	<u>Yrs</u>	<u>Mos</u>	<u>Days</u>																																						
a. Sep Date	___/	___/	___/																																						
b. Service Computation Date	___/	___/	___/																																						
c. Total Service (a minus b)	___/	___/	___/																																						
d. Non-creditable Mil Svc	___/	___/	___/																																						
e. Total Creditable Svc for Severance Pay (c minus d)	___/	___/	___/																																						
5. BASIC WEEKLY COMPENSATION (BWC) (Hourly rate of \$ _____ x 40 Hrs): \$ _____ (Explain in Remarks section computations involving other than scheduled hourly rates, i.e., night differential, part-time, etc.)																																									
6. BASIC SEVERANCE ALLOWANCE COMPUTATION (BSA) (See Appendix F, Subchapter 7, Book 550, FPM Supp 990-2 for Service Factor):																																									
$\$ \frac{\text{_____}}{\text{(BWC-Item 5 above)}} \times \frac{\text{_____}}{\text{Service Factor}} = \$ \text{_____}$																																									
7. COMPUTED SEVERANCE PAY FUND:																																									
<input type="checkbox"/> Under age 40 (enter BSA-Item 6 above): = \$ _____																																									
<input type="checkbox"/> Over age 40 (See Appendix F, above reference, for age adjustment allowance factor):																																									
$\$ \frac{\text{_____}}{\text{(BSA-Item 6 above)}} \times \frac{\text{_____}}{\text{Age Factor}} = \$ \text{_____}$																																									
8. MAXIMUM SEVERANCE PAY FUND (52 weeks):																																									
$\$ \frac{\text{_____}}{\text{(BWC-Item 5 above)}} \times 52 \text{ (weeks)} = \$ \text{_____}$																																									
9. SEVERANCE PAY FUND MUST BE REDUCED BY TOTAL NUMBER OF WEEKS SEVERANCE PAY PREVIOUSLY RECEIVED (check Official Personnel Folder --OPF, and "X" appropriate block below):																																									
<input type="checkbox"/> No previous severance payment (Omit Item 10 and complete Items 11 thru 15)																																									
<input type="checkbox"/> Previously received severance payment (complete all items below).																																									

Figure 5-5. Severance Pay Computation



## Chapter 6 Transfer of Function/Base Closure

### 6-1. Definition.

A transfer of function (TOF) occurs when—

- a. The performance of a continuing function is transferred from one competitive area and added to one or more other competitive areas.
- b. The competitive area in which the function is performed is moved to another commuting area

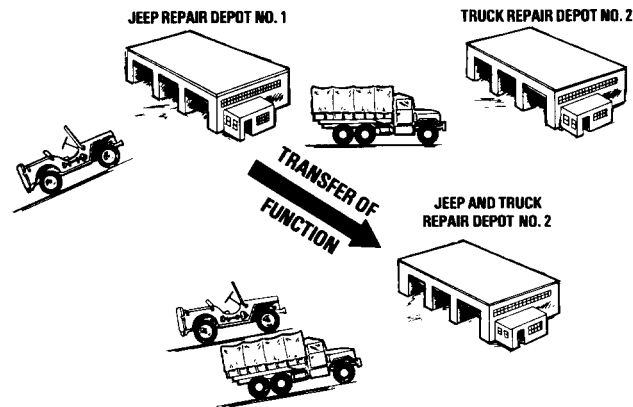


Figure 6-0. Transfer of Jeep Repair Function

### 6-2. Determining when a TOF exists.

a. Tracing a function to decide whether TOF conditions exist may be difficult. Ask the following questions in making TOF decisions:

- (1) Will the function cease operation in one competitive area and be performed in another competitive area?
- (2) With the gaining activity take over a function it did not have before that is now being performed in the losing activity? If the answer to these questions is yes, then a TOF exists.

b. Movement of activities or assignments within a competitive area (when the work performed in the competitive area is not moved to another commuting area) are reorganizations and not TOF.

### 6-3. Identifying employees with the transferring function.

a. Once a TOF decision has been made, employees associated with the mission (function) to be transferred and those employees performing related support services must be identified. This identification is necessary since support employees are not usually affected by TOF in the same way or degree as mission employees.

b. There are two ways to identify employees with a TOF.

- (1) The first method identifies employees with a function if they spend more than 50 percent of their time on the function, or if the employee's grade-controlling duties are identified with the function.
- (2) When neither majority of time nor grade-controlling duties can identify employees with a function, the second method is used; this method identifies employees with the function in reverse order of their RIF-retention standing.

c. Additional guidance on the use of the two methods described above is contained in FPM chapter 351.5-3a. The identification of positions and employees involved in a transfer of function should be a joint effort on the part of managers and the CPO.

### 6-4. Planning options.

Guidance for activities involved in TOF is discussed in FPM chapter 351, subchapter 5. Other planning guidance is contained in chapter 2 of this pamphlet. Planning should be tailored to the particular TOF at hand; options that might facilitate some TOF actions would not be appropriate for others. Discussed below are typical actions taken in a TOF by a losing and gaining activity.

a. Losing activity. If a TOF would result in a RIF of other employees of the activity, the employees identified with



the transferring function may be sealed off from competition. This would eliminate further disruptive efforts on the remaining work force. Employees identified with the function may be required to either transfer or face possible separations for failure to do so. Employees who decline the opportunity to transfer (out of the commuting area) would, however, receive priority placement consideration for vacancies.

*b. Gaining activity.*

(1) The gaining activity may be required, or be able, to carry on the new function with fewer employees than those identified by the losing activity. When excess employees are scheduled to transfer with the function, the gaining activity may be required to have a RIF. Thus, employees coming with the function compete with all employees in the competitive area of the gaining activity for available positions. Retention registers of the gaining and losing activities are merged. Job offers are made to employees with highest retention standing. Through merging retention registers and RIF procedures, employees at the gaining activity may be displaced by employees transferring from the losing activity. Merging retention registers is a paperwork transaction. No employees are actually transferred until they are offered and have accepted (in writing) a job at the gaining activity.

(2) The gaining activity often may not need to conduct a RIF in connection with an incoming function. In these cases the gaining activity may receive a fully staffed organization from the losing activity and be able to carry on the new function without disruption to the work force.

**6-5. Keeping employees informed.**

*a. In TOF actions that involve a geographic relocation provide as much information as possible to transferring employees. The quality of the information provided may have a direct bearing on employee decisions as to whether they will relocate to the gaining activity. Information provided should include material about—*

(1) The gaining installation.

(*a*) History of the installation.

(*b*) Location.

(*c*) Highway, rail, bus, and air connections.

(*d*) Missions.

(*e*) Organization (including the mission being transferred).

(*f*) Physical layout of installation (map handout).

(*g*) Key military and civilian personnel.

(*h*) Restaurant, dispensary, and recreational facilities.

(*i*) Major installation employment policies.

(2) The community.

(*a*) Climate.

(*b*) Housing—cost, type, rental or purchase, and availability.

(*c*) Trailer parks.

(*d*) Schools—colleges (special facilities for handicapped).

(*e*) Churches.

(*f*) Hospitals.

(*g*) Shopping facilities.

(*h*) Banking facilities.

(*i*) Public transportation.

(*j*) Recreation and entertainment.

(*k*) Hotels and motels.

(*l*) Fraternal organizations.

(*m*) Utilities.

(*n*) Newspapers.

(*o*) Taxes.

(*p*) Local government structure.

(*q*) Racial composition.

(*r*) Laws and customs.

*b. Special care should be taken in selecting the best people to present information on the gaining activity or community to the employees of the losing activity. The greater the stature and qualifications of those chosen to present the information, the better the material will be accepted by the work force. Plans should be made to cover all major topics about the gaining activity and the community. The commander or senior manager and the CPO of the gaining activity should brief the employees who may transfer. Prominent members of the community should be asked to furnish information, and, when possible, be invited to speak to the employees. Community members should represent groups such as—*

(1) Chamber of Commerce.

- (2) School system.
- (3) Local real estate brokers.
- (4) Churches.
- (5) Local government.
- (6) Minority and women's organizations.
- (7) Tax authority.

All briefings should allow ample time for questions and answers.

#### **6-6. Employee inquiries and family assistance.**

*a.* After they have been identified with the transferring function, employees should be given a letter of inquiry to determine if they intend to accompany their function. Proper counseling should be given to employees offered the opportunity to transfer. The inquiry should be completed quickly after the announcement of TOF so that employees will have enough time to plan for moving or securing other employment. Employees in the military service or serving overseas with reemployment rights to a position affected by transfer of function will be included in the inquiry process. Samples of transmittal letters, notices to employees, and decision letters are provided in appendix C.

*b.* When employees of the losing activity have agreed to move with their function, the gaining activity should consider asking employees to serve as family sponsors. These employees should assist the incoming families in their relocation and adjustment to the new community. This program has been used in many TOF actions and has proven to be highly successful. During the transition period, commanders should be urged to show their continued interest in the incoming employees. This may be done through a series of personal letters or bulletins that provide the latest information on organizational developments, installation activities, and community affairs.

#### **6-7. Personnel action timetable.**

A Personnel Action Timetable for TOF should be prepared as a joint effort of the losing and gaining activities. Responsibility for the timetable should be assumed by the losing activity. A suggested timetable is in figure 6-1. The first seven actions in this timetable are controlled by the losing activity. It is in a better position to decide when meetings with the gaining activity are needed. Plans for TOF should provide for implementation dates that allow enough time for the preparation of job descriptions and TDAs. These documents must be completed in time to allow all personnel actions to be taken in accordance with laws and regulations. Things to consider when preparing timetables include the size and complexity of the unit, the need for higher command approval, projected personnel impact, and whether functions will move in one or several increments. Timetables should be prepared to show the full schedule for each function being transferred. The timetable should be established by agreement between the gaining and losing activities to assure compliance with command directions for the transfer.

PERSONNEL ACTION TIMETABLE

DESTINATION \_\_\_\_\_

MISSION \_\_\_\_\_ Effective Date \_\_\_\_\_

<u>ACTION</u>	<u>DATE OR TIME FRAME</u> (To be determined)	<u>RESPONSIBILITY</u>
1. Identify Mission and Support Positions		Losing Instal
2. Notify Receiving Installation(s) of Mission & Support Positions		Losing Instal
3. Identify for Transfer, Mission and Support Personnel		Losing Instal
4. Issue Inquiry/Canvass Letter to Employee		Losing Instal
5. Receive Employee's Reply		Losing Instal
6. Issue Notification of Destination as Result of inquiry		Losing Instal
7. Forward Lists of Personnel to Receiving Installation		Losing Instal
8. Merge Retention Registers Preparatory to Offers		Receiving Instal
9. Issue Job Offers		Receiving Instal
10. <u>Issue Notice of Separation or Proposed Separation Letters</u>		
a. To Those Initially Declining on inquiry		Losing Instal
b. To Those Subject to RIF		Receiving Instal
11. Receive Employee's Reply to Job Offers		Losing Instal
12. Notice of Decision on Job Offers		Receiving Instal
13. Issue Notice of Separation Letters to Those Declining Job Offers		Losing Instal

(This timetable should be modified to meet the needs of the local situation.)

Figure 6-1. Personnel Action Timetable—TOF

<u>ACTION</u>	<u>DATE OR TIME FRAME</u> (To be determined)	<u>RESPONSIBILITY</u>
14. Issue Separation Notice to Those Declining Change to Lower Grade Offer		Receiving Instal
15. Issue Notices of Decision and SF 50s		
a. To Those Declining Initial inquiry		Losing Instal
b. To Those Subject to RIF - Declined offer at lower grade		Receiving Instal
c. To Those Declining Job Offer - At present grade or after accepting lower grade offer		Losing Instal
16. Establish Effective Date of Transfer for Mission & Support Personnel		All
17. Issue Notice of Separation for "No Shows"		Losing Instal
18. Issue Notice of Decision for "No Shows"		Losing Instal

Figure 6-1. Personnel Action Timetable—TOF—continued

## Chapter 7 Outplacement Assistance

### 7-1. General.

Outplacement assistance may be handled as part of the personnel staff's regular duties in a limited RIF. However, if a large number of employees are affected by RIF or TOF, a special outplacement team should be established. The outplacement efforts discussed herein are the Priority Placement Program (PPP), Displaced Employee Program (DEP), Reemployment Priority List (RPL), and local outplacement efforts. The sample placement record, figure 7-1, may be useful to track the placement efforts made for each employee. The type of outplacement assistance to be given depends on the severity of the action being taken as shown below:

Table 7-1  
Outplacement Assistance

Action	Program Entitlement	When Registered
RIF separation	PPP* RPL DEP Local outplacement	(As soon as it is determined that the employee will be separated by RIF)
RIF demotion	Local outplacement PPP	As soon as it is determined to what grade the employee will be demoted)
TOF declination	PPP DEP Local outplacement	(As soon as it is known that the employee cannot be placed in another position in the competitive area.)

Notes:

\* Registration in this program is mandatory for the commuting area only.

### **7-2. DOD Priority Placement Program (PPP).**

This is the primary outplacement vehicle for DOD employees. Registration in this program is governed by DOD 1400.20-1-M, DOD Program for Stability of Civilian Employment, Policies, Procedures, and Programs Manual. This publication is stocked by the US Army AG Publications Center, 2800 Eastern Boulevard, Baltimore, MD 21220. The PPP is a part of the DOD Program for Stability of Civilian Employment. Employees who are being separated (RIF or TOF) or reduced in grade are eligible for priority placement assistance under this program.

*a.* The outplacement team determines the skills in which the eligible employee is qualified and the geographic area of referral. The employee indicates the lowest grade level he will accept. He is then registered in the PPP for referral against vacant DOD positions. Necessary relocation expenses will be paid by the losing activity. Depending on the priority assigned to the registrant, a DOD activity's options in filling vacancies from other sources are limited when qualified and available DOD employees are registered in the PPP.

*b.* Employees who resign or otherwise voluntarily leave the Federal service prior to the effective date of separation by RIF will lose eligibility for continued registration. Separated employees will remain in the PPP until placed or for 1 year following the last day in active duty status.

### **7-3. Reemployment Priority List (RPL).**

The regulations governing the establishment and maintenance of the Reemployment Priority List are contained in FRM chapter 351, subchapter 8. The RPL, required by OPM, is an Army listing by commuting area of employees who are being separated by RIF. Activities must notify the Area Placement Coordinator (APC) when an employee is to be separated. (See sample letter in fig D-1.) The APC prepares the RPL for distribution to Army installations within the commuting area.

*a.* Employees named on the RPL are entitled to priority consideration within the commuting area for positions for which they are qualified, and they are entitled to displace group III employees (except those in status quo). The RPL restricts new appointments or transfers from other agencies as long as there are qualified registrants available.

*b.* Group I employees remain on the RPL for 2 years and group II employees remain on the RPL for 1 year unless removed because of:

- (1) Employee's written request.
- (2) Acceptance of a nontemporary full-time position in the competitive service, or
- (3) Declination of an offer of a nontemporary, full-time appointment within the commuting area at a grade or rate of pay equivalent to that held when separated.

### **7-4. Displaced Employee Program (DEP).**

Under the provisions of FPM chapter 330, subchapter 3, a displaced employee is entitled to placement assistance within any one OPM region. Upon request, the employee will also be considered for employment opportunities in the Washington, DC metropolitan area. In addition, the employee may be considered for employment opportunities in other areas if placement cannot be made in the region of original choice. Such assistance is reserved for persons who have competitive civil service status and were separated while serving in tenure group I (Career) or group II (Career-conditional). Priority referral will involve the referral of a displaced employee ahead of eligible on registers to fill a vacancy or to displace a group III employee (other than status quo) at or below the displaced employee's former grade.

*a.* An employee who receives a RIF separation letter or notice of separation for failure to accompany a transferring function may apply immediately for placement assistance through the DEP. Application must be made no later than 90 days after the date of separation or furlough by completing an SF 171 and filing it with the outplacement team. A registration sheet (see sample in FPM chap 330, app A) should be completed by the outplacement team and transmitted to OPM with a copy of the separation notice. Employees should carefully consider the lowest grade they will accept and their geographic availability when registering in the DEP.

*b.* A group I employee remains on the DEP list for 2 years and a group II employee remains on the DEP list for 1 year from the date separated or the date entered on the DEP list, whichever is later, unless he is removed because of his:

- (1) Written request;
- (2) Acceptance of nontemporary, full-time employment in the competitive service; or
- (3) Declination of an offer of full-time employment at or above his former grade under conditions that were previously indicated as acceptable.

*c.* In addition to other benefits for which they are eligible, displaced employees may apply for entrance of their names on existing competitive registers in regular order even through the register may be closed. This late filing privilege applies only at grades higher than the grade from which separated.

### **7-5. Local Outplacement Efforts.**

The outplacement team should use initiative and imagination in locating job opportunities for employees. The team's objective is to market effectively the skills of available employees. This requires analysis of employee records to determine the primary skill that may provide placement opportunity. Therefore, the team will need to search vacancy

announcements and advertisements in Government and industry to find employment opportunities. Contacts should be made with private and Government organizations to capitalize on present and future recruiting plans and job needs. See appendix D for sample letters to potential employers. Initial contacts with prospective employers should include, as a minimum, organizations such as—

- Chamber of Commerce and other civil organizations.
- State employment office.
- Labor organizations.
- Professional societies.
- Other Federal agencies.
- Private industry employers.

Consider announcing in local newspapers the employee skills that are available and sending press releases to other commuting areas where these skills might be used. The outplacement team should have enough space in which to interview and counsel employees. The installation should also have space for potential employers to conduct interviews.

#### **7-6. DOD Placement Plan for Employees Under Grade Retention.**

All employees who are changed to lower grade as a result of RIF and are eligible for grade retention will be mandatorily registered in Program “R” of the DOD Program for Stability of Civilian Employment. (See app B to DOD 1400.20-1-M for details.)

#### **7-7. Referral of Career Program Employees for Reassignment Due to Reorganization or Disestablishment.**

Those employees who receive notice of change to lower grade or notice of separation will be advised of their eligibility for special referral consideration for positions for which they are eligible and available. This consideration continues until placement or until the proposed action is effected. (AR 690-950-1, Subchap 6.)

SAMPLE

PLACEMENT RECORD

Name (last - first - middle)      Job Title, Series, Grade, Rate of Pay

Soc Sec Nr      Payroll Number      Birth Date      Retention Group      Serv Comp Date

Organizational Unit      Location      Phone Nr. (Office)

I understand that the following Placement Assistance is available:

DA Reemployment Priority List

Date Registered \_\_\_\_\_

Priority Placement Program (PPP)

Date Registered \_\_\_\_\_

OPM Displaced Employee Program (DEP)

Date Registered \_\_\_\_\_

The lowest grade and salary I will accept under these programs: \_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_  
Employee Signature and Date

Employee is qualified and available for the following: \_\_\_\_\_  
(Job Title, Series)

\_\_\_\_\_  
and Grade

\_\_\_\_\_  
\_\_\_\_\_

RECORD OF FIRM JOB OFFERS AND INTERVIEW INFORMATION

<u>Name and Location of Organization having Vacancy</u>	<u>Job Offered Title, Grade, Salary</u>	<u>Date of Offer</u>	<u>Results (If Offer declined by employ indicate reasons)</u>

When placed, file 1 copy in Completed Placements Folder  
(Use reverse side if more space is needed.)

Figure 7-1. Placement Record

## **Chapter 8**

### **Appeal and Grievance Procedures**

#### **8–1. Negotiated Grievance Procedures.**

Grievance procedures negotiated under 5 U.S.C. 7121 (as added by the Civil Service Reform Act of 1978) that include the “full scope” provisions automatically include RIF actions unless they are specifically excluded by the negotiated agreement. Employees covered by bargaining units whose agreements do not exclude RIF actions may file a grievance in accordance with procedures contained in the negotiated agreement. These employees may not appeal to the Merit Systems Protection Board (MSPB).

#### **8–2. Appeals to MSPB.**

Employees who are not in a bargaining unit, or employees in a bargaining unit covered by a negotiated grievance procedure that excludes RIF actions may appeal to MSPB. A copy of the MSPB regulations (5 CFR Part 1201)<sup>1</sup> must accompany RIF letters issued to employees who are eligible to appeal. Beginning with the day after the effective date of action, an employee has 20–calendar days to file an appeal with MSPB. Agency responses to petitions for appeal must be filed within 15 days of receipt (from MSPB) of the appellant’s petition.

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<sup>1</sup> These regulations are printed in FPM Supplement 900–1, book III.



## Appendix A References

Before entering into a base closure, transfer of function, or reduction in force situation, the Civilian Personnel Office staff must be equipped with a complete and current set of applicable regulations and procedures. The following is a list of the minimum reference material required to adequately conduct most work force reductions.

### A-1. References

- a. DA Regulations and Policies.
  - (1) AR 690-299, Standardized Civilian Personnel Administrative Procedures.
  - (2) AR 690-300, chapter 351, Reduction in Force.
  - (3) AR 690-300, chapter 352, Reemployment Rights.
  - (4) AR 690-752-1, Adverse Actions by Agencies.
  - (5) AR 5-10, Reduction and Realignment Actions.
  - (6) AR 405-16, Homeowner's Assistance Program.
  - (7) DA Circular 235-1, Commercial and Industrial-Type Activities (CITA).
  - (8) AR 690-950-1, Career Management.
- b. DOD Regulations and Directives.
  - (1) DOD 1400.20-1-M, Program for Stability of Civilian Employment: Policies, Procedures, and Programs Manual.
  - (2) DOD 1400.20-2-M, Counseling Manual for DOD Program for Stability of Civilian Employment.
  - (3) DOD Instruction 4165.50, DOD Homeowners Assistance Program. (See Facilities Engineer at local installations.)
- c. Office of Personnel Management Guidance.
  - (1) FPM Supplement 296-33, The Guide to Processing Personnel Actions.
  - (2) FPM chapter 330 Recruitment, Selection, and Placement (General), and FPM Supplement 330-1.
  - (3) FPM chapter 351, Reduction in Force.
  - (4) FPM chapter 410, Training.
  - (5) FPM chapter 530, Pay Rates and systems (General).
  - (6) FPM chapter 531, Pay Under the General Schedule.
  - (7) FPM chapter 532, Federal Wage System, and FPM Supplements 532-1 and 532-2.
  - (8) FPM chapter 536, Grade and Pay Retention.
  - (9) FPM chapter 550, Pay Administration, General.
  - (10) FPM chapter 715, Voluntary Separations and Reductions in Rank or Pay.
  - (11) FPM chapter 752, Adverse Actions by Agencies.
  - (12) FPM chapter 771, Agency Grievance System.
  - (13) FPM chapter 772, Appeals to the Commission.
  - (14) FPM chapter 831, Retirement, and FPM Supplement 831-1.
  - (15) FPM chapter 870, Life Insurance, and FPM Supplement 870-1.
  - (16) FPM chapter 890, Federal Employees Health Benefits, and FPM Supplement 890-1.
  - (17) FPM Supplement 990-2, Book 531, Pay Under the General Schedule, and Book 550, Pay Administration (General).
  - (18) Current FPM Bulletins and Letters in the above-identified series.
  - (19) Handbook X-118, Qualification Standards for General Schedule.
  - (20) Handbook X-118C, Qualification Standards for Trades and Labor Occupations.

*Note.* The above list is not all inclusive and may be supplemented by official guidance from higher headquarters (DA, DOD, or OPM).

### A-2.

Paragraph not used

**Appendix B  
Sample RIF Notices**

**B-1. Sample RIF Notices**

Paragraph not used

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(LETTERHEAD)

**SUBJECT: Notice of (Proposed Reassignment) (Reduction in Force) (Change to Lower Grade)**

**TO:**

1. As a result of a reduction in the overall manpower authorization for this (installation) (activity), it is necessary to eliminate those positions considered excess to authorized requirements. This action requires application of reduction-in-force regulations to determine which employees will be affected. Retention registers have been developed that give full consideration to veterans preference, civil service tenure, length of creditable Federal service, and work performance. The retention register for your competitive level contains the following information concerning your personal status:

Position title, grade and salary:

Competitive area:

Competitive level:

Retention group/subgroup:

Service computation date:

2. (The position you currently occupy is one of those identified for abolishment.) (or) (An employee with higher retention standing has a right to the position you currently occupy.) Based on your retention standing, you have mandatory assignment rights to displace another employee who has lower retention standing. You are, therefore, entitled to the following position offer:

(enter the title, series, grade, and salary of the position)

This position is located in (enter the specific organizational/geographic location of the position.) The offer of continuing employment is the best offer to which you are entitled at the present time, and it is made to you in lieu of separation by reduction in force. Your (reassignment) (change to lower grade) will be effective (enter date). You will be continued in your present position in a duty status during this notice period. It is requested that you indicate acceptance or nonacceptance of the above offer of continued employment by completing the inclosed form and returning it to the Civilian Personnel Office within seven (7) workdays after receipt of this notice.

Figure B-1. Sample RIF Notice - Optional Paragraphs

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3. (Select appropriate paragraph)

(For employees eligible for grade retention):

You are eligible to retain your present grade and rate of pay for a period of two (2) years following the effective date of your assignment to the position offered. Retained grade will be terminated on (enter date), unless an earlier termination is warranted by a personnel action which would render you ineligible.

(For employees ineligible for grade retention):

You are not entitled to grade retention because you have not served for 52 consecutive weeks or more in one or more positions at a grade higher than that of the position which you are offered. You are entitled to pay retention. Your retained rate of pay will be (enter pay rate) ..... and will be administered in accordance with section 5363 of title 5, United States Code.

4. (Select appropriate paragraph)

(For employees offered reassignment to an equivalent position):

Declination of the above offer or failure to respond to this offer will result in your separation by reduction in force effective (enter date). If you decline an offer of continued employment in a grade with a representative rate of pay equal to or higher than the representative rate for your current grade level, you will forfeit your right to be placed on the Reemployment Priority List, the DOD Priority Referral System list, or the OPM Displaced Employee Program list.

(For employees offered a change to lower grade):

Declination of the above offer or failure to respond to this offer will result in your separation by reduction in force effective (enter date). You are entitled to entry on the Reemployment List, the DOD Priority Referral System, and the OPM Displaced Employee Program.

5. (Select appropriate paragraph)

(For employees offered reassignment to an equivalent position):

If you decline this offer, you will not be entitled to severance pay. Severance pay is not authorized when an offer of an equivalent position is declined. The offered position is a position with tenure and pay similar to your current tenure and pay. (See inclosure \_\_\_\_ for an explanation of severance pay benefits.)

(or)

If you decline this offer, you will not be entitled to severance pay because you are eligible for immediate retirement annuity (select appropriate) as a civilian employee (OR) as a member of a uniformed service. (An explanation of severance pay eligibility is contained in inclosure \_\_\_\_\_. See inclosure \_\_\_\_\_ for provisions of Discontinued Service Retirement.)

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Figure B-1. Sample RIF Notice - Optional Paragraphs—Continued

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6. You may resign at anytime after receipt of this notice. Your resignation may be effective on the date you specify or the separation date specified in this notice, whichever is earlier. A lump-sum payment for the accumulated annual leave to your credit at time of separation will be made to you. Upon your request, you may be carried in a leave without pay or annual leave status for such time as is necessary to constitute a 90-day notice period prior to separation in order to provide you the opportunity to seek further Federal employment.

7. Retention registers and pertinent regulations are available for your inspection in the Civilian Personnel Office. Any questions you may have concerning this action should be directed to \_\_\_\_\_ (name, room #, telephone #). If, after examination of the retention registers and pertinent regulations you feel that any of your rights have been violated, (select appropriate paragraph):

You may appeal to the Merit System Protection Board (MSPB \_\_\_\_\_ address \_\_\_\_\_ in writing anytime during the period beginning with the day after the effective date of the reduction-in-force action until not later than 20 days after the effective date. A copy of the MSPB regulations is attached.

OR

As a member of a bargaining unit covered by a negotiated grievance procedure, you may file a grievance under Article \_\_\_\_\_ of the negotiated agreement within \_\_\_\_\_ days of the effective date of the reduction-in-force action.

8. The action described above should not be considered as reflecting upon your performance or conduct. It is being taken solely for the reasons stated. The services you have rendered toward the accomplishment of our mission are sincerely appreciated.

FOR THE COMMANDER:

Incl  
as

\_\_\_\_\_  
Civilian Personnel Officer

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Figure B-1. Sample RIF Notice – Optional Paragraphs—Continued

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## B-2. Sample RIF Notices

Paragraph not used

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(LETTERHEAD)

(INSTALLATION HEADING)

SUBJECT: Offer of Reassignment or Change to Lower Grade Position  
as a Result of Reduction in Force

TO: \_\_\_\_\_  
(NAME OF EMPLOYEE) (DIVISION, BRANCH, SECTION, ETC.)

1. As a result of reduction-in-force action, the following offer  
of continuing employment is made:

FROM: \_\_\_\_\_  
(Position Title, Series, Grade and Salary)

TO: \_\_\_\_\_  
(Position Title, Series, Grade and Salary)

EFFECTIVE \_\_\_\_\_  
(Date)

Please indicate below within seven (7) working days whether or  
not you will accept the offer of reassignment or change to lower  
grade position.

- 
- I accept the reassignment or change to lower grade  
offered above.
  - I will not accept the reassignment or change to lower  
grade offered above.

I realize that if I decline a position of like tenure and pay  
(other than retained rate), I forfeit any eligibility for  
severance pay.

\_\_\_\_\_  
(Signature of Employee) (Date)

Figure B-2. Sample RIF Notice - Offer of Reassignment or Change to Lower Grade

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(LETTERHEAD)

SUBJECT: Notice of Reduction in Force (NO OFFER)

1. As a result of a reduction in the overall manpower authorization for this installation (activity), it is necessary to eliminate those positions considered excess to authorized requirements. This action requires application of reduction-in-force regulations to determine which employees will be affected. Retention registers have been prepared in accordance with regulations, which give full consideration to veteran's preference, civil service tenure, length of creditable Federal service, and work performance. The retention register for your competitive level contains the following information concerning your personal status:

Position Title, Grade and Salary:

Competitive Area:

Competitive Level:

Retention Subgroup:

Service Computation Date:

2. Your relative retention standing as a Category \_\_\_\_\_ employee does not permit your placement elsewhere in this competitive area. Your assignment rights cannot be exercised because a review of positions in your competitive area indicates:

a. No vacancy exists at your same or a lower grade for which you are qualified.

b. No position exists for which you are qualified that is occupied by an employee in a lower retention group or subgroup.

c. No position exists that is the same or essentially the same as one from or through which you were promoted and now occupied by an employee with lower retention standing. Although no offer of continued employment can be made at this time, placement efforts will continue and you will be advised of any offer for continued employment by separate notice. If an offer cannot be made, you will be separated on the above date. You will be continued in a duty status in your present position during this notice period.

Figure B-3. Sample RIF Notice - No Offer

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3. (Select appropriate paragraph):

a. You are eligible for immediate retirement annuity (as a civilian employee) (as a member of an uniformed service). You will not, therefore, be entitled to severance pay. An explanation of discontinued service retirement is contained in inclosure \_\_\_\_\_. (See inclosure \_\_\_\_\_ for information on severance pay).

(OR)

b. You are entitled to severance pay under the provisions outlined in inclosure \_\_\_\_\_.

4. You are entitled to entry on the Reemployment Priority List, in the DOD Priority Referral System, and in the Office of Personnel Management's Displaced Employee Program (See inclosure \_\_\_\_\_).

5. You may resign at any time after receipt of this notice. If you resign or retire, you will lose your right to consideration for reemployment under the DOD Priority Referral System. You will receive a lump-sum payment for unused annual leave to your credit. Upon your request, you may be carried in a leave without pay or annual leave status for such time as is necessary to provide a 90-day notice period prior to separation in order to provide you the opportunity to seek further Federal employment.

6. Retention registers and pertinent regulations are available for your inspection in the Civilian Personnel Office. Any questions you may have concerning this action should be directed to \_\_\_\_\_, located in \_\_\_\_\_, ext. \_\_\_\_\_, who will assist you in every way possible. If, after examination of the retention registers and pertinent regulations, you feel that any of your rights have been violated,

(select appropriate)

(you may appeal to the Merit Systems Protection Board (MSPB) \_\_\_\_\_ address \_\_\_\_\_ in writing anytime during the period beginning with the day after the effective date of reduction-in-force action until not later than 20 days after the effective date. A copy of the MSPB regulations is attached),

(OR)

(as a member of a bargaining unit covered by a negotiated grievance procedure, you may file a grievance under Article \_\_\_\_\_ of the negotiated agreement within \_\_\_\_\_ days of the effective date of the reduction-in-force action.)

8. The action described above should not be considered as reflecting upon your performance or conduct. It is being taken solely for the reasons stated. The services you have rendered

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Figure B-3. Sample RIF Notice - No Offer—Continued

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toward the accomplishment of our mission are sincerely appreciated.

FOR THE COMMANDER:

Incl  
as

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Civilian Personnel Officer

Figure B-3. Sample RIF Notice - No Offer—Continued

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(LETTERHEAD)

SUBJECT: Notice of Reduction in Force (Group III Employee)

1. As a result of reprogramming actions and adjustment of manpower authorization for this installation, your position, as identified below, has been abolished. This action requires application of reduction in force regulations. Accordingly, it is necessary that you be separated due to reduction in force effective \_\_\_\_\_.

2. A retention register has been prepared in accordance with reduction in force regulations that gives full consideration to civil service tenure, veterans preference, length of creditable Federal service, and performance ratings. The retention register for your competitive level shows your retention standing as follows:

Position Title, Grade, and Salary:

Competitive Area:

Competitive Level:

Retention Category: III

Service Computation Date:

3. You may resign at any time after receipt of this notice. In such case, the customary advance notice required for resignation will be waived. Your resignation may be effective on the date you specify or on the separation date described in this notice, whichever is earlier. Since you are a Group III employee, you are not eligible to have your name placed on the Reemployment Priority List and to participate in the Department of Defense Priority Placement Program and the OPM Displaced Employee Program.

4. Annual leave to your credit will be paid in a lump-sum.

5. \_\_\_\_\_ (Name) Room # \_\_\_\_\_, Telephone # \_\_\_\_\_ is available to assist you by explaining this proposed action and will provide access to pertinent regulations, reduction in force registers, and other material you may wish to review which is related to this notice. If, after examination of the register and pertinent regulations, you feel that any of your rights have been violated,

(you may appeal to the Merit Systems Protection Board

Figure B-4. Sample RIF Notice - Group III Employee

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(MSPB) address in writing anytime during the period beginning with the day after the effective date of the reduction-in-force action until not later than 20 days after the effective date. A copy of the MSPB regulation is attached,)

(OR)

(as a member of a bargaining unit covered by a negotiated grievance procedure, you may file a grievance under Article of the negotiated agreement within \_\_\_\_\_ days of the effective date of the reduction-in-force.)

8. The action described above should not be considered as reflecting upon your performance or conduct. It is being taken solely for the reasons stated. The services you have rendered toward the accomplishment of our mission are sincerely appreciated.

FOR THE COMMANDER:

Incl  
as

\_\_\_\_\_  
Civilian Personnel Officer

Figure B-4. Sample RIF Notice - Group III Employee—Continued

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(LETTERHEAD)

SUBJECT: Termination of Appointment (Temporary Employee)

1. This is to advise you that it has become necessary to terminate your employment at this installation effective \_\_\_\_\_. The reason for this termination is \_\_\_\_\_ (specify reason) .
2. Because of the tenure of your employment, you do not have a right to appeal this action.
3. We regret the necessity for this action, but it is impossible to continue your employment beyond this date. Your contribution to this installation and the Federal service is sincerely appreciated.

FOR THE COMMANDER:

\_\_\_\_\_  
Civilian Personnel Officer

Figure B-5. Sample RIF Notice – Temporary Employee

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**Appendix C  
Sample TOF Letters**

**C-1. Sample TOF Letters**

Paragraph not used.

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**(LETTERHEAD)**

**(Date)**

**SUBJECT: Transfer of \_\_\_\_\_ Mission/Function**

**TO:**

**REFERENCE:**

1. Forwarded herewith are listings of mission and support positions identified with the transfer of the \_\_\_\_\_ mission to your installation. All positions listed are currently filled. You will be notified by letter of any vacancies due to refusal of employees to exercise their transfer of function rights, or of other vacancies created by voluntary transfer, reassignment or separation of employees.
2. Information pertaining to mission and support employees occupying these positions will be furnished upon completion of the initial canvass.

**Commanding**

**(If specific information on employees can be furnished promptly there may be no need for this letter.)**

**Figure C-1. Sample Notice Transfer of Mission/Function**

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(LETTERHEAD)

Dear

1. On           (date)           it was announced that this installation is being phased out and closed. Many of our functions are being transferred to other Army installations. These transfers and the inactivation of           (installation)           are being phased over a period of approximately   . This action is being taken as a result of recent base realignment studies conducted to achieve the best use of resources available to the Department of the Army.

2. The mission and work force of the           (organization designation)           are being transferred no later than           (scheduled date of transfer)           to the           (receiving installation(s))          . Among           (number)           installations receiving the functions, you specifically have the right to exercise transfer of function rights to the           (designated receiving installation)           .

3. The           (major command)           desires to provide jobs for its employees and to retain within the Department of Defense, the skill and know-how which you have acquired during your employment with the Army. Every effort will be made by           (receiving installation)           to offer you continued employment at your current grade and pay. If this is not possible, you will be made the best possible offer under the reduction in force provisions set forth in Federal Personnel Manual chapter 351. You are encouraged to exercise your transfer of function rights to           (receiving installation)          . To assure the Army meets its obligation to you with respect to the transfer of function, you should indicate whether or not you wish to exercise your rights by completing the form at the bottom of this letter.

4. You should clearly understand that if you decline to exercise your right to transfer with your function you may be separated for failure to accompany your function unless--

(a) You are able to be placed in a vacancy for which you qualify in your current activity or at other Department of the Army (DA) or Department of Defense (DOD) activities under the DA and DOD priority placement programs or;

(b) You accept employment with another government agency or in private industry or;

(c) You elect to retire (if eligible).

5. If you accept your transfer rights, your name and personal data will be forwarded to the receiving installation. As stated above, every effort will be made to offer you a position at your present grade and pay. Transportation expenses for yourself and

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Figure C-2. Sample Initial Canvass Letter – One Destination

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your dependents, and costs for moving your household goods will be paid by the government under provisions of the Joint Travel Regulations. Your receiving installation will supply you with all necessary information regarding the new area to which you transfer.

6. You have ten calendar days from the date of this letter to decide whether you will accompany the transfer of your function. Please indicate your decision below by checking one of the answers and then sign your name.

7. You are about to make an important decision and should consider all aspects of the transfer very carefully. Your supervisor and a Civilian Personnel Office representative will be available to explain any features of this transfer that you may desire. You will be given advice and information about the transfer; however, the final decision must be yours. Whatever you decide, please understand that (installation name) appreciates very much the services you have given here during your career. We encourage you to give careful consideration to continuing your career at (new installation).

Sincerely yours,

Civilian Personnel Officer

I understand my right to transfer with my function. I have indicated below whether I will or will not transfer to the installation indicated above:

I will accept transfer

I will not accept transfer. I understand that I forfeit my rights to transfer with the function of (organizational designation).

Signature

Date

Figure C-2. Sample Initial Canvass Letter - One Destination—Continued

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(LETTERHEAD)

Dear

1. On       (date)       it was announced that this installation was being phased out and closed. Many of our functions are being transferred to other Army installations. These functions and the inactivation of       (installation)       are being phased over a period of approximately                     . This action is being taken as a result of recent base realignment studies designed to achieve the best use of resources available to the Department of the Army.

2. The missions and work of       (organizational designation)       are being transferred no later than       (scheduled date for transfer)       to the       (receiving installations)      . As a career or career conditional employee assigned with (organizational designation), you may have the right to transfer with your function. You may have the opportunity to exercise your transfer of function (TOF) rights to one of the installations which will be receiving the functions of       (organizational designation)      .

3. The       (major command)       desires to provide continuing employment to its employees, and to retain within the Department of Defense, the skills and know-how which you have acquired during your service with the Army. Every effort will be made by the installation that receives you to offer you employment at your present grade and pay. If this is not possible, you will be made the best possible offer under the reduction in force provisions set forth in Federal Personnel Manual chapter 351. You are encouraged to exercise your TOF rights to one of the installations indicated above.

4. Since many employees occupy the same job as you and only a certain number will be transferred to each receiving installation, it must be determined which employees will have TOF rights to each of these installations. All employees will be asked to show their preference for the installations to which they wish to transfer. At the bottom of this letter you will find blocks to be checked for each of the installations. A block is also provided to check if you do not desire to exercise your TOF rights. If you desire to exercise these rights, check your choice by: first, second, or third choice, and your installation preference.

5. When your reply is received, you and all other employees occupying the same job will be listed in order of retention standing. The first choice of those standing highest will be honored ahead of those standing lower on the register. On this basis, you and others occupying the same job will be divided among each of the receiving installations according to the number

Figure C-3. Sample Initial Canvass Letter - Split Destination

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of positions designated for each installation. If you stand high enough on the retention register, your first choice may be honored. If not, your other preferences will be considered in order until you are ultimately identified with one of the receiving installations.

6. In the event none of the listed installations are satisfactory and you do not desire to accept transfer to any of them, indicate your decision at the bottom of this letter. You should clearly understand that if you decline to exercise your rights to transfer with your function, you may be separated for failure to accompany your function unless--

(a) You can be placed in a vacancy for which you qualify in your current activity or in other activities under the DA and DOD priority placement programs.

(b) You accept employment with another government agency or in private industry.

(c) You elect to retire if eligible.

7. If you accept your TOF rights, your name, and personal data will be forwarded to the receiving installation. As stated above, every effort will be made to offer you a position at your current grade and pay. Transportation expenses for yourself and dependents and costs for moving your household goods will be paid by the Government under provisions of the Joint Travel Regulations. The receiving installation will furnish information on the new area where you will be transferred.

8. You have ten (10) calendar days from the date of this letter to decide whether you will accompany the transfer of your function. You are about to make an important decision, and should consider all aspects of the transfer carefully.

9. Your supervisor and a Civilian Personnel Office representative will be available to explain any features of this transfer that you may desire. While you will be given certain advice and information about the transfer, the final decision must be yours. Whatever you decide, please understand that \_\_\_\_\_ (installation name) appreciates very much the services you have given during your career. Please give careful consideration to continuing your career at the receiving installations.

Sincerely yours

\_\_\_\_\_  
Civilian Personnel Officer

Figure C-3. Sample Initial Canvass Letter - Split Destination-Continued

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I understand my right to transfer with my function. I have indicated below by number in each block, my first and succeeding choices of installations to which I desire to transfer. This indicates that I will accept TOF to any of these installations in the order which I have stated.

I will accept transfer to \_\_\_\_\_ (receiving installation).

I will accept transfer to \_\_\_\_\_ (receiving installation).

I will accept transfer to \_\_\_\_\_ (receiving installation).

I will not accept transfer to any of the above installations. I understand that I forfeit any rights to transfer with the function of \_\_\_\_\_ (organizational designation) .

\_\_\_\_\_  
Signature

\_\_\_\_\_  
Date

Figure C-3. Sample Initial Canvass Letter - Split Destination—Continued

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(LETTERHEAD)

Dear

1. On     (date)     it was announced that this installation is being phased out and closed. Many of our functions are being transferred to other Army installations. These transfers and the inactivation of     (installation(s))     are being phased over a period of approximately                     . This action is being taken as a result of recent base realignment studies designed to achieve the best use of resources available to the Department of the Army.

2. The mission and work of the     (organizational designation)     are being transferred no later than     (scheduled date of transfer)     to     (receiving installation)    . All employees identified with performing mission related work in     (organizational designation)     may have the right to transfer with the mission to     (receiving installation)    . A portion of support employees may also have similar rights. Support employees are those assigned to organizations of this installation that have provided support to the mission of     (organizational designation)    . Therefore, as a career or career-conditional employee identified in support of     (organizational designation)    , you may have the right to transfer to     (receiving installation)    .

3. The     (major command)     desires to provide continuing employment to its employees and to retain within the Department of Defense, the skill and knowledge you have acquired during your employment with the Army. Every effort will be made by     (receiving installation)     to offer you continued employment at your present grade. If this is not possible, you will be made the best possible offer under reduction in force procedures described in Federal Personnel Manual chapter 351. You are encouraged to exercise your transfer of function rights to     (receiving installation)    . To assure the Army meets its obligation to you with respect to the transfer of function, you should indicate whether or not you wish to transfer with your function by completing the form at the bottom of this letter.

4. You should clearly understand that if you decline to exercise your rights to transfer with your function you may be separated for failure to accompany your function, unless (a) you are placed in a vacancy for which you qualify in your current activity or, under the DOD PPP, in an other Department of the Army (DA) or Department of Defense (DOD) activity or (b) you accept employment

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Figure C-4. Sample Initial Canvass Letter – Support Employee – One Destination

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with another Government agency or in private industry or (c) you elect to retire.

5. If you accept your transfer rights, your name and personal data will be forwarded to the receiving installation. As stated above, every effort will be made to offer you a position at your present grade. Transportation expenses for yourself and your dependents and costs for moving your household goods will be paid by the Government, under the provisions of the Joint Travel Regulations. Information regarding the new area to which you will be transferring will be furnished by (receiving installation).

6. You have ten (10) calendar days from the date of this letter to decide if you will accompany the transfer of your function. Please indicate your decision by checking the appropriate block below and sign your name.

7. You are about to make an important decision and should consider all aspects of the transfer very carefully. Your supervisor and a Civilian Personnel Office representative will be available to explain any features of this transfer that you may desire. While you will be given advice and information about the transfer, the final decision must be yours. Whatever you decide, please understand that (installation name) appreciates very much the services you have given during your career. We encourage you to give careful consideration to continuing your career at (new installation name).

Sincerely yours.

Civilian Personnel Officer

I understand my right to transfer with my function. I have indicated below whether I will or will not transfer to the installation indicated above:

I will accept transfer

I will not accept transfer. I understand that I forfeit my rights to transfer with the function of (organization designation).

\_\_\_\_\_  
Signature

\_\_\_\_\_  
Date

Figure C-4. Sample Initial Canvass Letter - Support Employee - One Destination-Continued

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(LETTERHEAD)

Dear

1. On (date) it was announced that this installation is being phased-out and closed. Many of our functions are being transferred to other Army installations. These transfers and the inactivation of (installation(s)) are being phased over a period of approximately                     . This action is being taken as a result of recent base realignment studies designed to achieve the best use of resources available to the Department of the Army.

2. The mission and work of the (organization designation) are being transferred no later than (scheduled date of transfer) to (receiving installations). All employees identified with performing mission-related work in (organization designation) may have the right to transfer with the mission to (receiving installations). Some support employees may also have similar rights. Support employees are those assigned to organizations of this installation that provide support to the mission of (organization designation). As a career or career-conditional employee identified in support of (organization designation), you may have the right to transfer to (receiving installation).

3. A number of positions exist within your organization that have been identified as being in support of the (organizational designation). Since you occupy one of these positions, you are being afforded the opportunity to exercise your transfer of function rights to one of the several receiving installations.

4. The (major command) desires to provide continuing employment to its employees and to retain within the Department of Defense the skills and knowledge that you have acquired during your tenure with the Army. Every effort will be made by the installation that receives you to offer employment at your present grade. If this is not possible, you will be made the best possible offer under the reduction in force provisions set forth in Federal Personnel Manual chapter 351. You are encouraged to exercise your transfer of function rights to one of the installations indicated above.

5. Since there are a number of employees occupying the same job as you and only a certain number will be transferred to each of the receiving installations, it is necessary to determine which employees will have transfer of function rights to each of these installations. All support employees will be asked to show their

Figure C-5. Sample initial canvass Letter – support employee–split destination

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preferences for the installations to which they wish to transfer. At the bottom of this letter you will find blocks to be checked for each of the installations. A block is also provided for you to check if you do not desire to exercise your transfer of function rights. If you desire to exercise these rights, check your choice by: first choice, second choice, and third choice of installation preference.

6. When your reply is received, you and all other employees occupying the same job will be listed in order of retention standing. The first choice of those standing highest will be honored ahead of those standing lower on the register. On this basis, you and others occupying the same job will be divided among each of the receiving installations, according to the number of positions designated for each installation. If you stand high enough on the retention register, your first choice may be honored. If not, your other preferences will be considered in order until you are ultimately identified with one of the receiving installations.

7. In the event none of the listed installations are satisfactory to you and you do not desire to accept transfer to any of them, indicate your decision at the bottom of this letter. You should clearly understand that if you decline to exercise your rights to transfer with your function, you may be separated for failure to accompany your function unless: (a) you are placed in a vacancy for which you qualify in your current activity or, under the DOD PPP, at other Department of the Army (DA) or Department of Defense (DOD) activity or (b) you accept employment with another government agency or in private industry or (c) you elect to retire (if eligible).

8. If you accept your transfer of function rights, your name and personal data will be forwarded to the receiving installation. As stated above, every effort will be made to offer you a position at your present grade. Transportation expenses for yourself and your dependents and costs for moving your household goods will be paid by the Government under provisions of the Joint Travel Regulations. Information regarding the new area to which you will be transferred will be furnished by the receiving installation.

9. You have ten (10) calendar days from the date of this letter to decide if you will accompany the transfer of your function. You are about to make an important decision and should consider all aspects of the transfer carefully.

10. Your supervisor and a Civilian Personnel Office representative will be available to explain any features of this transfer that you may desire. While you will be given advice and information about the transfer, the final decision must be

Figure C-5. Sample initial canvass Letter – support employee—split destination—Continued

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yours. Whatever you decide, please understand that (installation) appreciates very much the services you have given during your career. We encourage you to give careful consideration to continuing career at the receiving installations.

Sincerely yours,

\_\_\_\_\_  
Civilian Personnel Officer

-----  
I understand my right to transfer with my function. I have indicated below by numbers in each block, my first and succeeding choices of installations to which I desire to transfer. This indicates that I will accept transfer of function to any of these installations in the order which I have stated.

- I will accept transfer to \_\_\_\_\_  
(receiving installation)
- I will accept transfer to \_\_\_\_\_  
(receiving installation)
- I will accept transfer to \_\_\_\_\_  
(receiving installation)

I will not accept transfer to any of the above installations. I understand that I forfeit any rights to transfer with the function of (organizational designation) .

\_\_\_\_\_  
(Signature) (Date)

Figure C-5. Sample initial canvass Letter - support employee-split destination-Continued

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(LETTERHEAD)

Dear

You have recently received a letter advising you of your transfer of function rights in connection with the transfer of work and mission of the (organization designation) to the (receiving installations) on or about (date).

On the basis of your indicated preference and your retention standing among those employees who occupy the same position as yourself, you specifically have transfer of function rights in connection with the transfer of work and mission of the (organizational designation) to the (receiving installations) on or about (date).

On the basis of your indicated preference and your retention standing among those employees who occupy the same position as yourself, you specifically have transfer of function rights to (receiving installation). You will be advised at a future date of the specific position you will be offered at the new installation and will be provided with other information related to your transfer.

Sincerely yours,

Civilian Personnel Officer

Figure C-6. Sample Letter - Confirmation of TOF Right and Destination

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(LETTERHEAD)

SUBJECT: Notice of Proposed Separation - Declined Relocation

1. On           (date)           you were informed that your position, as part of the phaseout of this installation, has been identified with the functional transfer of           (organization or mission)          . At that time you were offered an opportunity to exercise your transfer of function rights to   .
2. Your reply to the above offer, dated           , indicates that you do not desire to exercise your transfer of function rights. Therefore, you are informed that it is proposed to separate you from your position as           (title, grade and pay)          . This action is necessary (explain the           circumstances           that make separation necessary as a result of declination to relocate). This action, Separation-Declined Relocation           (city and state)           will be effective           (enter a date that is no sooner than 30 days from the date of the notice)          . You will be continued in your present position in a duty status during this notice period.
3. This action is being taken to improve the efficiency of the Federal service (Continue with an explanation of the improvement, i.e., economy, consolidation of related functions, elimination of duplication, etc., which support the determination that the action promotes the efficiency of the service).
4. Absence from duty for local employment interviews, arranged for you by your Civilian Personnel Office and a reasonable amount of time required to prepare a reply to this notice will be authorized without charge to leave or loss of pay. Approval of requests for absences should be obtained from   .
5.    Room #   , Telephone #    is available to assist you by explaining this proposed action and will provide access to pertinent regulations and other material you may wish to review which is related to this notice.
6. Assistance will be given to you in obtaining other employment. You are eligible to participate in the Reemployment Priority Program and DOD Priority Placement Program. Since you were offered the opportunity to transfer with your function, you will be in a lower priority for placement than those employees

Figure C-7. Sample Letter - Notice of Proposed Separation - Declined TOF (Prepared by Losing Installation)

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scheduled for separation by reduction in force. You are also eligible to participate in the Displaced Employee Program of the Office of Personnel Management. General information on these programs is inclosed.

7. You have the right to reply to this notice of proposed separation, personally and in writing, or both, and to furnish affidavits and witnesses in support thereof, as you may desire, to the Civilian Personnel Officer within 7 work days from the receipt of this notice. Should an extension of this time limit be required, you should contact \_\_\_\_\_ . An extension may be approved provided that you are able to demonstrate that the time allotted is insufficient. The Civilian Personnel Office will make such pertinent regulations and records available as you may require for preparation of your reply. Careful consideration will be given to your reply, if any, and you will be furnished a written notice of decision.

FOR THE COMMANDER:

Incl  
as

\_\_\_\_\_  
Civilian Personnel Officer

Figure C-7. Sample Letter – Notice of Proposed Separation – Declined TOF (Prepared by Losing Installation)—Continued

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(LETTERHEAD)

**SUBJECT: Notice of Decision - Separation, Declined Relocation**

1. Reference is made to letter dated \_\_\_\_\_ proposing your separation for the reasons specified in paragraph 1 and 2.
2. You did not reply to the proposed action (NOTICE: If a reply was received, (a) restate each fact of rebuttal by employee, (b) explain the consideration given to each fact, and (c) conclude with a reply or decision that the reasons specified in referenced letter, warrant separation.) Accordingly, you will be separated effective \_\_\_\_\_.
3. You may submit an appeal of this action through the appeal procedures described in inclosure 1 and within the time limits set forth therein. (An employee may have grievance rights if he is a member of a bargaining unit that has negotiated RIF/TOF provisions. If so, he must use the negotiated provisions and may not go to MSPB.)
4. This action in no way reflects upon your character, conduct, or work performance. Your service while an employee of \_\_\_\_\_ is sincerely appreciated.

**FOR THE COMMANDER:**

Incl  
as

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

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Figure C-8. Sample Letter - Notice of Decision - Separation Declined TOF (Prepared by Losing Installation)

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(LETTERHEAD)

1. As part of the close out of (losing installation) and transfer of the \_\_\_\_\_ mission, it was determined that certain employees had transfer of function rights to various Army installations including (receiving installation). You were identified by (losing installation) with the function being transferred to this installation. Therefore, in accordance with your transfer of function rights, you were offered an opportunity to accompany the function to (receiving installation).

2. As a result of the transfer of function, several positions have been identified for abolishment since they are considered excess to workload requirements. This action requires application of reduction-in-force procedures to determine which employee will be affected. Retention registers of (losing activity) and (receiving activity) have been combined and have given consideration to veteran's preference, Civil Service tenure, length of creditable Federal service and work performance. The retention register for your competitive level contains the following information concerning your personal status:

Position Title, Grade and Salary:

Competitive Area:

Competitive Level:

Retention Category:

Service Computation Date:

3. The position you currently occupy is one of those identified for abolishment. (OR) An employee with higher retention standing has a right to displace you from the position you currently occupy. Based on your retention standing, you have mandatory assignment rights to displace another employee who has lower retention standing. You are therefore entitled to the following position offer: (enter position title, series, grade, and salary at (location of position)).

This offer of continuing employment is the best offer to which you are entitled at the present time and it is made to you in lieu of separation by reduction in force.

Your (reassignment) OR (change to lower grade position) will be effective \_\_\_\_\_. You will be continued in your present position in a duty status during this notice period. It

Figure C-9. Sample Letter - Specific Job Offer to Employee  
(Prepared by receiving installation for delivery by losing CPO)

Figure C-9. Sample Letter - Specific Job Offer to Employee (Prepared by receiving installation for delivery by losing CPO) (Pg. C-18 to C-21)

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is requested that you indicate acceptance or non-acceptance of the above offer of continued employment by completing the inclosed form and returning it to the Civilian Personnel Office, within five (5) work days after receipt of this notice. If you accept this offer you should report for duty to (building, room number), (receiving installation) on (date).

4. (Select appropriate paragraph)

(Employees eligible for grade retention)

You are eligible to retain your present grade and rate of pay \_\_\_\_\_ for a period of two (2) years following the effective date of your assignment to the position offered. Retained grade will be terminated on \_\_\_\_\_ unless an earlier termination is warranted by a personnel action which would render you ineligible. (OR)

(Employees currently on grade retention)

The grade retention you are currently receiving will be terminated effective \_\_\_\_\_ (enter the date two years from the date original grade retention began). Immediately following termination of your period of grade retention you will be entitled to pay retention, which will be administered in accordance with section 5363 of title 5, United States Code.

(Employees ineligible for grade retention)

You are not entitled to grade retention because you have not served for 52 consecutive weeks or more in one or more positions at a grade higher than that of the position which you are offered. You are entitled to pay retention. Your pay retention has been established at the rate of \$\_\_\_\_\_ effective \_\_\_\_\_, and will be administered in accordance with section 5363 of title 5, United States Code.

5. (Select appropriate paragraph)

(Offer of reassignment to an equivalent position)

Declination of the above offer or failure to respond to this offer will result in your separation by reduction in force effective \_\_\_\_\_. If you decline an offer of continued employment, in a grade with a representative rate of pay equal to or higher than the representative rate for your current grade level, you will forfeit your right to be placed on the Reemployment Priority List, the DOD Priority Placement Program, or the Office of Personnel Management Displaced Employee Program. (See inclosure \_\_\_\_\_). OR

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(Offer of change to lower grade position)

Declination of the above offer or failure to respond to this office will result in your separation by reduction in force effective \_\_\_\_\_. You are entitled to entry on the Reemployment Priority List, and registration in the DOD Priority Placement Program, and the Office of Personnel Management Displaced Employees Program. (See inclosure \_\_\_\_).

6. (Offer of Reassignment to an equivalent position)

(select appropriate paragraph):

If you decline this offer, you will not be entitled to severance pay. Severance pay is not authorized when offer of an equivalent position is declined. This is a position with like tenure, and pay (other than retained rate). (See inclosure for an explanation of severance pay benefits).

(OR)

If you decline this offer, you will not be entitled to severance pay because you are eligible to apply for immediate retirement annuity on the basis of discontinued service. (See inclosure \_\_\_\_ for provisions of Discontinued Service Retirement.)

7. You may resign at any time after receipt of this notice. Your resignation may be effective on the date you specify or on the separation date specified in this notice, whichever is earlier. A lump-sum payment for the accumulated annual leave to your credit at time of separation will be made to you. Upon your request, you may be carried in a leave without pay or annual leave status for such time as is necessary to constitute a 90-day notice period prior to separation in order to provide you the opportunity to seek further Federal employment.

8. Retention registers and pertinent regulations are available for your inspection in the Civilian Personnel Office. Any questions you may have concerning this action should be directed to (name, room #, telephone #). If, after examination of the retention register and pertinent regulations you feel that any of your rights have been violated, (select appropriate paragraph):

You may appeal to the Merit Systems Protection Board (MSPB) (address) in writing anytime during the period beginning with the day after the effective date of the reduction-in-force action, but not later than 20 days after the effective date. A copy of the MSPB regulations is attached, (OR)

As a member of a bargaining unit covered by a negotiated grievance procedure, you may file a grievance under Article

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of the negotiated agreement within \_\_\_\_\_ days of the effective date of the reduction-in-force action.

9. The action described above should not be considered as reflecting upon your performance or conduct. It is taken solely for the reasons set forth above. We look forward to receiving the benefits of your knowledge and experience and welcome you as a employee of (receiving installation).

FOR THE COMMANDER.

Incl  
as

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Civilian Personnel Officer

Figure C-9. Sample Letter – Specific Job Offer to Employee (Prepared by receiving installation for delivery by losing CPO) (Pg. C-18 to C-21)—Continued

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(LETTERHEAD)

Dear

1. Reference is made to the notice given to you of transfer of functions and (reassignment/change to lower grade, etc.) dated \_\_\_\_\_ based upon reasons contained in paragraph 1 therein.

2. Since you have accepted the position of (title, grade, and rate of pay), this is to confirm the action proposed in the above referenced notice. The effective date of the action and the date you are to report for duty at (receiving installation) is \_\_\_\_\_.

3. The Civilian Personnel Officer at your installation will give you information related to travel and termination of your employment at (losing installation). We would like to assist you in every way possible in facilitating your move to this installation.

FOR THE COMMANDER:

\_\_\_\_\_  
Civilian Personnel Officer

(Such things as housing information, programs to assist employees relocate, etc., may also be incorporated in this letter.)

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Figure C-10. Confirmation of Job Offer – Receiving Installation (Prepared by receiving installation) (Pg. C-22)

C-2.

Paragraph not used.

**Appendix D  
Sample Outplacement Letters**

**D-1. Sample Outplacement Letters**

Paragraph not used.

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**(LETTERHEAD)**

**SUBJECT: Request to Place Employee on Reemployment Priority List**

**TO: Area Placement Coordinator**

**1. The following information is provided to place the below listed employee(s) on the Reemployment Priority List:**

**Name:**

**Retention Subgroup:**

**Date of RIF Notice:**

**Effective Date:**

**Position from which separated: (Title, Series, Grade and Salary)**

**2. This employee, who has indicated that (Grade and Salary) is the lowest acceptable grade and salary, meets the appropriate minimum qualification standards for the following position(s):**

<b>Title (include specialization)</b>	<b>Series</b>	<b>Grade</b>
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**Civilian Personnel Officer**

**Figure D-1. Sample – Request to Place Employee on RPL**

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**D-2. Sample Outplacement Letters**

Paragraph not used.



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(LETTERHEAD)

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

Dear

On \_\_\_\_\_ (date \_\_\_\_\_, the Department of the Army announced that this installation will phase-out and close (or effect a major reduction-in-force or transfer of function) over an approximately \_\_\_\_\_ period. This phase-out affects approximately \_\_\_\_\_ (number) well trained personnel. Although each affected employee will be given placement assistance under the Priority Placement Program of the Department of Defense Program for Stability of Civilian Employment, vacancies are extremely limited. Any offer made will, in most cases, require the employee to relocate. It is of great concern to me that these people be allowed to secure other employment in the Federal service.

These trained people are available for immediate employment. A wide variety of occupational fields are represented, including managerial, administrative and clerical, professional and scientific, technical and subprofessional, warehousing and supply, trades and crafts, and unskilled laborers. I have included a list of all specific occupational categories and the current pay scales for your review. While we have planned our phaseout over a \_\_\_\_\_ period, many employees are now seeking other employment in this area. We need your help in making every possible employment opportunity available to them.

We have designated Mr./Ms \_\_\_\_\_ as coordinator of all out-placement services for our people. If more detailed information is desired, Mr./Ms \_\_\_\_\_ may be reached on (telephone number) \_\_\_\_\_, or you may call me direct. I would appreciate your notifying us of your current or anticipated vacancies for which you believe our employees may qualify. Mr./Ms \_\_\_\_\_ and his/her Outplacement Team will assist in screening and referring applicants to you. If you so desire, interviewing facilities will be made available to you here at any time.

Figure D-2. Sample - Letter to Local Federal Agencies

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Our employees represent a very valuable source of experienced career personnel to assist in filling your vacancies. I will be most appreciative of any assistance you provide to insure that all possible opportunities for continued employment in the Federal service are furnished to our employees.

Sincerely yours,

1 Incl  
as

\_\_\_\_\_  
Commander

Figure D-2. Sample - Letter to Local Federal Agencies—Continued

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(LETTERHEAD)

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

Dear

On \_\_\_\_\_ (date) \_\_\_\_\_ the Department of the Army announced that this installation will phase out and close (or effect a major reduction-in-force or transfer of mission) over an approximate \_\_\_\_\_ period. This action affects approximately (number) \_\_\_\_\_ well trained employees. While some may be fortunate in obtaining offers of continued employment with the Department of Defense elsewhere in the country, vacancies are limited and many will not receive offers; or if they do, they will be unable to accept. It is of great concern to me that these people be afforded every opportunity to secure employment in the (city name) \_\_\_\_\_ area.

These fine people will be available to you. A wide variety of occupational fields are represented, including managerial, administrative and clerical, professional and scientific, technical and subprofessional, warehousing and supply, trades and crafts, and unskilled laborers. I have inclosed an exact list of all specific occupational categories and the current pay scales for your review. While we have planned our phaseout over a \_\_\_\_\_ period, many employees are now seeking other employment in this area. We need your help in making every employment opportunity available to them.

We have designated Mr./Ms \_\_\_\_\_ as coordinator of all outplacement services for our people. If more detailed information is desired, Mr./Ms \_\_\_\_\_ may be reached on \_\_\_\_\_ (telephone number) \_\_\_\_\_, or you may call me direct. I would appreciate your notifying us of your current or anticipated vacancies for which you believe our employees may qualify. Mr./Ms \_\_\_\_\_ and his/her Outplacement Team, will assist in screening and referring applicants to you. If you desire, interviewing facilities will be made available to you here at any time.

Our employees represent a very valuable source of experienced career personnel to fill your vacancies. We will be most

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Figure D-3. Sample - Letter to Local Industrial Firms

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appreciative of any assistance you can give us in insuring that our employees are advised of all opportunities for continued employment in the           (city name)           area.

Sincerely yours,

1 Incl  
as

\_\_\_\_\_  
Commander

Figure D-3. Sample - Letter to Local Industrial Firms—Continued

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