



DoD INSTRUCTION 1400.25, VOLUME 351

DoD CIVILIAN PERSONNEL MANAGEMENT SYSTEM: REDUCTION IN FORCE

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Approved by:	Virginia S. Penrod, Acting Under Secretary of Defense for Personnel and Readiness

Purpose: This instruction is composed of several volumes, each containing its own purpose. In accordance with the authority in DoD Directive 5124.02:

- This instruction establishes and implements policy, establishes procedures, provides guidelines and model programs, delegates authority, and assigns responsibilities regarding civilian personnel management within the DoD.
- This volume, in accordance with DoD Directive 1400.25:

- Establishes policy, assigns responsibilities, and prescribes procedures for reduction in force (RIF) actions taken under Part 351 of Title 5, Code of Federal Regulations (CFR), as modified by Section 1597(f) of Title 10, United States Code (U.S.C.).
- Prescribes procedures for approval of RIF actions and coordinating announcements pertaining to personnel reductions.
- Requires that appropriate OSD officials are apprised of the planned RIF action in advance and that the release of information to members of Congress, other Executive agencies, and the public is properly coordinated.

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SECTION 1: GENERAL ISSUANCE INFORMATION

1.1. APPLICABILITY.

This volume:

- a. Applies to OSD, the Military Departments, the Office of the Chairman of the Joint Chiefs of Staff and the Joint Staff, the Combatant Commands, the Office of Inspector General of the Department of Defense, the Defense Agencies, the DoD Field Activities, and all other organizational entities within the DoD (referred to collectively in this issuance as the “DoD Components”).
- b. With the exception of Paragraphs 3.1.a., 3.1.c., and 3.1.d., does not apply to the RIF or adjustment in force of DoD employees covered by an alternative personnel system (e.g., the Acquisition Demonstration; Science and Technology Reinvention Laboratories; and the Defense Civilian Intelligence Personnel System). Alternative personnel systems will develop policies and procedures that comply with Section 1597 of Title 10, U.S.C., and are approved for implementation in writing by the Under Secretary of Defense for Personnel and Readiness (USD(P&R)) via a DoD issuance or by publication in the Federal Register, as applicable.
- c. Does not apply to positions in the Senior Executive Service.

1.2. POLICY.

- a. For any RIF of civilians in the competitive and excepted services in the DoD, the determination as to which employees will be separated from employment must be made primarily on the basis of performance.
- b. DoD will consider and employ every reasonably available option to mitigate the size of a proposed RIF, including job changes or retraining, the use of voluntary early retirement authority or voluntary separation incentive payments, hiring freezes and management-directed reassignments, termination of temporary employees, reductions in work hours, curtailment of discretionary spending, and other pre-RIF placement activities for employees eligible for placement assistance and referral programs.
- c. DoD will comply with applicable labor relations obligations in connection with RIFs and adjustments in force.

1.3. INFORMATION COLLECTIONS.

- a. The retention register, referred to in Paragraph 3.3., does not require licensing with a report control symbol in accordance with Paragraph 13 of Volume 1 of DoD Manual 8910.01.

b. The written requests for coordination and clearance of announcements to the USD(P&R), referred to in Paragraph 3.1.d.(2), do not require licensing with a report control symbol in accordance with Paragraph 9 of Volume 1 of DoD Manual 8910.01.

SECTION 2: RESPONSIBILITIES

2.1. ASSISTANT SECRETARY OF DEFENSE FOR MANPOWER AND RESERVE AFFAIRS.

Under the authority, direction, and control of the USD(P&R), the Assistant Secretary of Defense for Manpower and Reserve Affairs has overall responsibility for the development of DoD civilian personnel policy covered by this volume.

2.2. DEPUTY ASSISTANT SECRETARY OF DEFENSE FOR CIVILIAN PERSONNEL POLICY (DASD(CPP)).

Under the authority, direction, and control of the Assistant Secretary of Defense for Manpower and Reserve Affairs, the DASD(CPP) supports the development of civilian personnel policy covered by this volume and monitors its execution by DoD Components, ensuring consistent implementation and continuous application throughout the DoD.

2.3. DIRECTOR, DOD HUMAN RESOURCES ACTIVITY.

Under the authority, direction, and control of the USD(P&R), the Director, DoD Human Resources Activity, provides support to the DASD(CPP), as appropriate, in execution of duties and responsibilities assigned under this volume.

SECTION 3: PROCEDURES

3.1. APPROVAL AND COORDINATION OF RIFS AND NOTIFICATION TO CONGRESS.

a. The Secretaries of the Military Departments, the Director of Administration and Management, and the Directors of Defense Agencies and DoD Field Activities with independent appointing authority for themselves and their serviced activities, are authorized to approve RIFs conducted in accordance with this volume.

b. The DoD Component head concerned and the Director of Administration and Management may re-delegate the authority to approve RIFs that propose the involuntary separation of fewer than 50 employees or that are necessitated by base realignment and closure (BRAC) or military force shaping actions, to the lowest appropriate level. Any such re-delegation of authority must be in writing. The authority to approve RIFs proposing the involuntary separation of 50 or more employees may not be further delegated.

c. Pursuant to Section 1597 of Title 10, U.S.C., DoD Components must submit a report to Congress 45 days prior to implementing an approved RIF. The report must describe the reasons the RIF is required and a description of any resulting changes to workload or position requirements. If the RIF meets any of the following criteria, the DoD Component must coordinate the proposed report to Congress with the USD(P&R), through the DASD(CPP), prior to submission to Congress:

(1) A RIF that proposes the involuntary separation of 50 or more civilian employees during a fiscal year at an installation, facility, or activity.

(2) A RIF of any size if the RIF is likely to be of special interest to Congress or the public.

(3) A RIF of any size related to BRAC.

(4) Realignment of 50 or more civilian employees outside the commuting area that may result in a RIF or in involuntary separations.

d. Appendix 3B contains the information that must be included in a coordination request and provides a sample format for submission of the information. For BRAC-related RIFs, the coordination request need only include the number of anticipated involuntary separations and the effective date of the separations. DoD Components must submit BRAC-related coordination requests at least 75 days before the separations occur.

3.2. SCOPE OF COMPETITION.

DoD Components will determine the retention standing of each employee competing in the RIF on the basis of factors outlined in this volume.

a. Establish Competitive Areas.

Competitive areas will be established in accordance with Section 351.402 of Title 5, CFR.

b. Establish Competitive Levels.

Competitive levels will be established in accordance with Section 351.403 of Title 5, CFR.

3.3. RETENTION STANDING.

Competitive service employees and excepted service employees are placed on separate retention registers which will be established in accordance with Sections 351.404 and 351.405 of Title 5, CFR. Sample retention registers are shown in Appendix 3A.

a. Periods of Assessed Performance.

For purposes of DoD RIF, employees are placed in one of two categories: employees with a period of assessed performance of less than 12 months and employees with a period of assessed performance of 12 months or more.

(1) An employee's period of assessed performance for purposes of RIF will be the sum of the months of assessed performance associated with the employee's performance appraisals within the most recent 4-year period preceding the cutoff date established for the RIF.

(2) Periods of time in a rating cycle for which an employee's performance was not assessed are not included in the employee's period of assessed performance. For example, if an employee receives a rating after serving 10 months of the 12-month cycle, the employee's period of assessed performance is 10 months for that rating cycle.

(3) For employees absent for military service, periods of time for which the rating of record for purposes of Paragraph 3.3.c.(1) of this volume was established under Paragraph 3.3.b.(2) of this volume are treated as periods of assessed performance.

b. Modal Ratings.

A modal rating, as defined in Section 351.203 of Title 5, CFR, is the rating of record most frequently given among the actual ratings of record to employees within the same competitive area.

(1) A modal rating may be used as a rating of record for purposes of determining the rating of record under Paragraph 3.3.c.(1) of this volume for those periods in which an employee did not receive a performance appraisal due to a prolonged absence resulting from a work-related injury approved for compensation pursuant to an Office of Workers' Compensation Program or performance of the duties of a full-time union representative. Use of a modal rating is limited to those periods of time for which the employee has no rating of record under any performance management system within the 4-year period preceding the cutoff date established for the RIF.

(2) For employees absent for military service, if the employee has at least one rating of record within the 4-year period preceding his or her absence for military service, that rating or ratings will be used for determining the rating of record under Paragraph 3.3.c.(1) of this volume. If the employee does not have at least one rating of record within the 4-year period preceding his or her absence for military service, a modal rating will be used for purposes of determining the rating of record under Paragraph 3.3.c.(1) of this volume.

c. Retention Factors.

Competing employees must be listed on a retention register based on the rating of record, tenure group, average score, veterans' preference, and DoD Service computation date-reduction in force (SCD-RIF) categories.

(1) Rating of Record.

An employee's rating of record is the average of the ratings of record drawn from the two most recent performance appraisals received by the employee within the 4-year period preceding the cutoff date established for the RIF, except when the rating of record in the employee's most recent performance appraisal is "unacceptable." When the most recent rating of record is "unacceptable," only that rating of record will be considered for purposes of RIF.

(a) Subject to the exceptions set forth in Paragraph 3.3.b., only ratings of record drawn from performance appraisals, as defined in Section 351.203 of Title 5, CFR, will be used for RIF. In accordance with Section 351.504(b)(2) of Title 5, CFR, a cutoff date will be established by the DoD Component, after which no new performance appraisal will be considered for purposes of the RIF. The cutoff date established will be at least 60 days before the date of the issuance of RIF notices.

(b) Performance appraisals may be issued only in accordance with a rating cycle or appraisal period under either the Defense Performance Management and Appraisal Program (DPMAP) or a non-DPMAP performance management program (including a performance management system used by another federal agency with which the employee was formerly employed). Ratings of record **may not** be issued solely for purposes of documenting performance in advance of a RIF.

(c) When an employee has only one performance appraisal within the 4-year period, the employee's rating of record for the purposes of RIF will be drawn from that appraisal. When the employee has two or more performance appraisals, the ratings of record drawn from the two most recent appraisals will be added and the sum divided by two. The resulting quotient will be rounded to the nearest whole number. Quotients with a decimal up to and including .49 will be rounded down to the nearest whole number. Quotients with a decimal of .5 or above will be rounded up to the nearest whole number.

(d) When the rating patterns authorized by a system other than DPMAP (including a system used by another federal agency with which the employee was formerly employed) do not align with the DPMAP performance rating level descriptions (see Table 1), the DoD Component will determine the rating of record by converting the employee's two most recent numeric ratings of record to be commensurate with the DPMAP performance rating levels.

1. For example, if an employee received a performance appraisal under a system other than DPMAP and received a rating of record of “1,” which in that other system is deemed commensurate with “outstanding” performance, the employee’s rating of record for that appraisal will be converted to a “5” for purposes of RIF.

2. If, however, an employee received a rating of record of “1,” and under the applicable performance management system such rating is commensurate with “unacceptable” performance, the employee’s numeric rating of record will remain a “1.” Consistent with Section 430.208(d) of Title 5, CFR, ratings from a pass/fail performance management program will receive a rating of record of “3” for pass and “1” for fail, respectively.

Table 1. DPMAP Performance Rating Levels

Performance Levels
Level 5 – Outstanding
Level 3 – Fully Successful
Level 1 – Unacceptable

(2) Tenure Group.

(a) Tenure groups are defined in Section 351.501(b) of Title 5, CFR, for the competitive service and Section 351.502(b) of Title 5, CFR, for the excepted service.

(b) Under personnel systems that authorize the conversion to permanent appointments of term employees (Tenure Group III) previously selected through competitive procedures, and who otherwise meet conditions required for such conversion, DoD Components may convert such employees to permanent appointments (Tenure Group I or Tenure Group II, as appropriate). However, such conversions must be effective not less than 90 days before the effective date of the RIF.

(3) Average Score.

An employee’s average score is the average of the average scores drawn from the two most recent performance appraisals received by the employee, except when the performance appraisal reflects an “unacceptable” rating of record. When the most recent performance appraisal reflects an “unacceptable” rating of record, only that performance appraisal will be considered for purposes of the employee’s average score.

(a) In general, an employee’s average score for one performance appraisal is derived by dividing the sum of the employee’s performance element ratings by the number of performance elements.

1. When the employee has only one performance appraisal within the 4-year period, the average score from that performance appraisal is the employee’s average score for

purposes of RIF. When two performance appraisals are used for this purpose, the average scores from each will be added and the sum divided by two (e.g., average scores of 3.8 on one appraisal and 4.0 on the successive appraisal will result in an average score calculation of 3.9). The resulting quotient will be rounded to the nearest tenth of a decimal point.

2. If the hundredths and thousandths places of the decimal reflect 49 or less, they are dropped and the tenths place does not change. If the hundredths and thousandths places of the decimal is 50 or more, they are dropped and the tenths place is increased by “.1” (e.g., an average total of 4.63 will be rounded down to 4.6; an average total of 4.65 will be rounded up to 4.7).

(b) DoD Components using a performance management program other than DPMAP (or a system used by another federal agency with which the employee was formerly employed) that assigns a numeric rating of record, but uses a non-numeric rating system to evaluate employee performance on each element of a performance plan, will assign numeric values to each performance element rating. The average of these performance element ratings will become the employee’s average score for that performance appraisal.

1. If it is not feasible for DoD Components to assign a numeric value to the employee’s performance on each element of a performance plan (including when a modal rating is used), DoD Components will assign an average score by calculating the mathematical average of ratings of record for each performance appraisal, and rounding to the nearest tenth of a decimal point. If the hundredths and thousandths places of the decimal reflect 49 or less, they are dropped and the tenths place does not change. If the hundredths and thousandths places of the decimal is 50 or more, they are dropped and the tenths place is increased by “.1” (e.g., an average total of 4.63 will be rounded down to 4.6; an average total of 4.65 will be rounded up to 4.7).

2. Table 2 provides an example of how to calculate an employee’s rating of record and average score retention factors when the employee’s two most recent performance appraisals reflect evaluation under more than one performance management and appraisal system.

Table 2. Multiple System “Rating of Record” and “Average Score” Example Calculations

Performance Year	Average Rating of Record	Average Score
2019 DPMAP	3	4.1
2018 other than DPMAP	5	5.0
Final 2019 RIF Retention Register Average Rating of Record and Average Score	4	4.6

(4) Veterans’ Preference.

Competing employees are placed in a veterans’ preference subgroup in accordance with the definitions in Section 351.501(c) of Title 5, CFR. The three veterans’ preference subgroups are coded:

(a) AD.

A 30 percent disabled veteran.

(b) A.

A veteran who is eligible for veterans' preference for purposes of RIF, but is not eligible for placement in the AD category.

(c) B.

An employee not eligible for veterans' preference for purposes of RIF.

(5) DoD SCD-RIF.

The SCD-RIF includes all creditable service authorized by Section 351.503(a) and (b) of Title 5, CFR. DoD will not follow Section 351.504 of Title 5, CFR, which provides for granting additional retention service credit in RIF based on an employee's ratings of record.

3.4. CREATION OF THE RETENTION REGISTER.

In general, employees with a period of assessed performance of less than 12 months are categorized and ranked below employees with a period of assessed performance of 12 months or more.

a. Tenure Group III.

All Tenure Group III employees, as defined in Section 351.501 of Title 5, CFR, for the competitive service and Section 351.502 of Title 5, CFR, for the excepted service, are ranked below any Tenure Group I or II employee, notwithstanding any other retention factor. Tenure Group III employees are further ranked as follows:

(1) Tenure Group III employees with assessed performance of 12 months or more are ranked from highest rating of record to lowest rating of record.

(2) Tenure Group III employees with a period of assessed performance of less than 12 months are ranked from highest rating of record to lowest rating of record, and are ranked below Tenure Group III employees with a period of assessed performance of 12 months or more.

(3) Tenure Group III employees with no rating of record are ranked below Tenure Group III employees with a rating of record greater than "unacceptable."

(4) Tenure Group III employees with a rating of record of "unacceptable" are ranked below all other Tenure Group III employees with a rating of record higher than "unacceptable" or **no** rating of record.

(5) When ratings of record are the same for two or more Tenure Group III employees, these employees are further ranked by average score. Tenure Group III employees with higher average scores are ranked above Tenure Group III employees with lower average scores.

(6) When average scores are the same for two or more employees, those employees will be further ranked by veterans' preference. Employees with a veterans' preference category of AD are ranked above employees with a veterans' preference category of A. Employees with a veterans' preference category of A are ranked above employees with a veterans' preference category of B.

(7) When veterans' preference is the same for two or more employees, these employees will be further ranked by DoD SCD-RIF. Employees with a DoD SCD-RIF furthest in the past will be ranked above employees with a more recent DoD SCD-RIF.

(8) When two or more employees have the same DoD SCD-RIF and are tied for release, the DoD Component may determine the order in which the employees are released.

b. "Unacceptable" Rating of Record.

Employees who are not Tenure Group III and whose most recent performance appraisal reflects a rating of record of "unacceptable" are ranked above any Tenure Group III employee, but are ranked below other Tenure Group I and II employees with a rating of record other than "unacceptable" or who have no rating of record. Employees whose most recent rating of record is "unacceptable" are further ranked as follows:

(1) Employees will be ranked by tenure group (e.g., employees in Tenure Group I will be ranked above employees in Tenure Group II).

(2) Within each tenure group, employees will be further ranked by average score. Employees with higher average scores are ranked above employees with lower average scores.

(3) When average scores are the same for two or more employees, those employees will be further ranked by veterans' preference. Employees with a veterans' preference category of AD are ranked above employees with a veterans' preference category of A. Employees with a veterans' preference category of A are ranked above employees with a veterans' preference category of B.

(4) When veterans' preference is the same for two or more employees, those employees will be further ranked by DoD SCD-RIF. Employees with a DoD SCD-RIF furthest in the past will be ranked above employees with a DoD SCD-RIF that is more recent.

(5) When two or more employees have the same DoD SCD-RIF and are tied for release, the DoD Component may determine the order in which the employees are released.

(6) When an employee, including an employee eligible for veterans' preference, has a rating of record on his or her most recent performance appraisal of "unacceptable," he or she is released from a competitive level in round one. That employee has no further assignment rights in round two of the RIF.

c. Period of Assessed Performance of Less than 12 Months.

Tenure Group I and II employees whose most recent performance appraisal reflects a rating of record of other than “unacceptable,” but who have a period of assessed performance of less than 12 months, are ranked on a retention register above employees with an “unacceptable” rating of record and Tenure Group III employees. Employees with an assessed period of performance of less than 12 months are ranked as follows:

(1) Employees with a higher rating of record are ranked above employees with a lower rating of record. Employees with no rating of record will be ranked lower than any employee with a rating of record.

(2) When ratings of record are the same for two or more employees, those employees are further ranked by tenure group. Employees in Tenure Group I will be ranked above employees in Tenure Group II.

(3) Within tenure groups, employees are further ranked by average score. Employees with a higher average score are ranked above employees with a lower average score. Employees with no rating of record and no average score are ranked below all others.

(4) When average score calculations are the same for two or more employees, those employees will be further ranked by veterans’ preference. Employees with a veterans’ preference category of AD are ranked above employees with a veterans’ preference category of A. Employees with a veterans’ preference category of A are ranked above employees with a veterans’ preference category of B.

(5) When veterans’ preference is the same for two or more employees, those employees will be further ranked by DoD SCD-RIF. Employees with a DoD SCD-RIF furthest in the past will be ranked above employees with a DoD SCD-RIF that is more recent.

(6) When two or more employees have the same DoD SCD-RIF and are tied for release, the DoD Component may determine the order in which the employees are released.

d. Period of Assessed Performance of 12 Months or More.

Tenure Group I and II employees whose most recent performance appraisal reflects a rating of record of other than “unacceptable” and who have a period of assessed performance of 12 months or more are ranked above all Tenure Group III employees, all employees with an “unacceptable” rating of record, and those employees with a period of assessed performance of less than 12 months. Employees with a period of assessed performance of 12 months or more are ranked as follows:

(1) Employees with a higher rating of record are ranked above employees with a lower rating of record.

(2) When ratings of record are the same for two or more employees, those employees will be further ranked by tenure group. Employees in Tenure Group I will be ranked above employees in Tenure Group II.

(3) Within tenure groups, employees are further ranked by average score. Employees with a higher average score are ranked above employees with a lower average score.

(4) When average score calculations are the same for two or more employees, those employees will be further ranked by veterans' preference. Employees with a veterans' preference category of AD are ranked above employees with a veterans' preference category of A. Employees with a veterans' preference category of A are ranked above employees with a veterans' preference category of B.

(5) When veterans' preference is the same for two or more employees, those employees will be further ranked by DoD SCD-RIF. Employees with a DoD SCD-RIF furthest in the past will be ranked above employees with a DoD SCD-RIF that is more recent.

(6) When two or more employees have the same DoD SCD-RIF and are tied for release, the DoD Component may determine the order in which the employees are released.

3.5. RELEASE FROM COMPETITIVE LEVEL (ROUND ONE).

a. Employees to be Released First.

Temporary employees in the competitive service are non-competing employees and are not included on the RIF retention register. These employees will be released from their competitive level before the release of a competing employee in the same competitive level. DoD Components will release any employee with a specifically limited temporary appointment, a specifically limited temporary or term promotion, or a written decision in accordance with Parts 432 or 752 of Title 5, CFR, of removal or demotion from the competitive level, before releasing a competing employee from that level through a RIF.

b. Order of Release from Competitive Level.

DoD Components must select employees competing in RIF for release from a competitive level (including release from a competitive level involving a pay band) beginning with the employee with the lowest retention standing on the RIF retention register. DoD Components must apply the provisions contained in Part 351, Subpart F, of Title 5, CFR, in conjunction with the procedures throughout this volume.

c. Exceptions.

DoD Components must comply with protections afforded employees pursuant to Section 351.606 of Title 5, CFR, including protections established in Sections 4301- 4335 of Title 38, U.S.C., also known as the "Uniformed Services Employment and Reemployment Rights Act of 1994." DoD Components may apply the permissive protections established in Sections 351.607 and 351.608 of Title 5, CFR.

3.6. ASSIGNMENT RIGHTS (ROUND TWO).

a. In the competitive service, an employee released from a competitive level may have a right under RIF procedures to a position in a different competitive level. DoD Components must apply the provisions contained in Sections 351.702 and 351.703 of Title 5, CFR, with regard to determining the qualifications of any such employee. Assignment rights are mandatory for competitive service employees in Tenure Groups I and II whose current performance appraisal reflects a rating of minimally successful or greater. Excepted service employees do not have mandatory assignment rights.

b. In round two, there are two types of potential assignment rights to positions in different competitive levels: displacing an employee of a lower retention standing, or an offer to a vacant position. DoD RIF procedures do **not** apply the retreat process described in Part 351 of Title 5, CFR. Employees whose most recent rating of record of minimally successful or equivalent have assignment rights under these procedures only to a position held by another employee whose most recent rating of record is minimally successful or equivalent.

(1) Displacement.

Displacement is the assignment of an employee to a continuing position in a different competitive level that is held by another employee with a lower retention standing (i.e., “bumping” another employee). Displacement may be at the same grade or at a grade up to three grades or grade intervals (or equivalent) below the position of the released employee. For preference-eligible employees with a compensable service-connected disability of 30 percent or more, displacement can be to a position at the same grade or to a position up to five grades below the grade of the position from which released. A released employee may have displacement rights to a position without regard to whether the employee previously held the position of the employee with lower retention standing.

(a) For example, Vicki in Table 3 is a GS-0560-12. She is in the Assessed Performance Category of 12 months or more with a Rating of Record 3, Tenure Group II, Average Score Calculation 3.7, Veterans’ Preference B, and DoD SCD 27-Mar 2017. Vicki will exercise her assignment rights to a position within the competitive level GS-0560-11 retention register and will displace an employee on the GS-0560-11 retention register based on her retention standing.

(b) In the GS-0560-12 competitive level, the employees with an unacceptable rating would be separated along with the Tenure Group III employees. The Tenure Group III employees, in this example, were not offered assignment rights.

(2) Offers of Vacant Positions.

When a DoD Component chooses to fill a vacancy with an employee who has been reached for release from the competitive level, the DoD Component must consider the relative retention standing of all released employees. The DoD Component must offer a position to the released employee with the highest retention standing before offering a position to a released employee with a lower retention standing.

(3) Available Position.

An employee's right to assignment is limited to an available position. The offered position must meet the following criteria:

- (a) Be a competitive service position.
- (b) Be in the same competitive area as the released employee.
- (c) Have a duration that is at least 3 months.
- (d) Be one for which the released employee meets the position's qualification requirements.
- (e) Have a representative rate that is equal to or less than that of the position held by the released employee.
- (f) Be occupied by an employee with a lower retention standing than that of the released employee.
- (g) Have the same type of work schedule.

(4) One Offer of Assignment.

A released employee is entitled to only one offer of assignment, and except as provided in Paragraph 3.6.b.(5), is not entitled to any further offers if the released employee:

- (a) Accepts an offer;
- (b) Rejects an offer; or
- (c) Fails to reply to an offer within the timeframes established by DoD Component policy.

(5) Requirement to make an additional offer of assignment.

Although a released employee is entitled to only one offer of assignment, the DoD Component must make a better offer of assignment to a released employee (i.e., to a position with a higher representative rate) if a position becomes available before, or on, the RIF effective date.

(6) Positions.

Positions to which employees are assigned under these procedures must be consistent with Section 351.701 of Title 5, CFR, except Section 351.701(b), (c), and (d). DoD Components will apply Sections 351.704 and 351.705 of Title 5, CFR, in a manner that is consistent with procedures contained in this volume.

(7) Administrative Assignments Rights.

DoD Components have the discretion to develop supplemental policy that would prescribe administrative assignment rights to excepted service employees and to competitive service employees in Tenure Group III. Unless provided for by the DoD Component concerned, neither excepted service employees nor competitive service employees in Tenure Group III have any right of assignment.

3.7. PAY RATES/APPLICABLE GRADES.

DoD Components will apply Section 351.701(e) and (f) of Title 5, CFR, in determining pay rates and applicable grades.

3.8. RECORDS.

DoD Components will comply with Section 351.505 of Title 5, CFR. Notwithstanding Section 351.505 (c)(1) of Title 5, CFR, the completed RIF retention registers and service computation dates will be consistent with the procedures prescribed in this volume.

3.9. EFFECTIVE DATE OF RETENTION STANDING.

The retention standing of each employee released from a competitive level will be determined in accordance with Section 351.506 of Title 5, CFR. When a DoD Component discovers an error in the determination of an employee's retention standing, it will correct the error and adjust any erroneous RIF action to conform to the employee's proper retention standing, as of the effective date of the RIF at issue.

3.10. NOTICE.

a. DoD Components will comply with all notification provisions established in Part 351, Subpart H, of Title 5, CFR.

b. RIF notices will not be issued or made effective on or between December 15 and January 3. Secretaries of the Military Departments, the Director of Administration and Management, and the Directors of Defense Agencies and DoD Field Activities with independent appointing authority for themselves and their serviced activities may authorize an exception if specific situations make delay inadvisable or available resources preclude delay.

3.11. APPEALS AND CORRECTIVE ACTIONS.

Part 351, Subpart I, of Title 5, CFR, governs procedures for the appeal and correction of actions taken in a RIF conducted in accordance with this volume.

APPENDIX 3A: SAMPLE DOD RETENTION REGISTERS

For the purpose of this sample DoD retention register, the RIF effective date is July 2019. In this example, 19 positions at the GS-12 level need to be reduced. Working from the bottom of the retention register, the 19 employees in the highlighted rows (Matthew through Vicki) are released from the register.

3A.1. ROUND ONE.

a. In this example, a Financial Management Office must abolish 19 Budget Analyst positions at the GS-12 level. This competitive area contains only two competitive levels: GS-0560-12 (32 positions) and GS-0560-11 (22 positions). There are no vacancies within either competitive level. The RIF effective date is July 31, 2019. Employees with an unacceptable rating have no assignment rights to another position and will separate by RIF. Tenure Group III employees have not been granted assignment rights during Round Two competition and will separate by RIF. All other employees released during Round One have displacement rights and may receive an assignment to a position in the GS-0560-11 competitive level in Round Two. This assumes that there are no vacant GS-12 positions for which these released employees are qualified. There normally would be no such positions given the requirement to use every reasonably available option to mitigate the size of a proposed RIF. However, use of vacant positions is not mandatory. There may be agency mission requirements that make it necessary for an agency to use some, or no vacant positions. (See Paragraph 3.6.b.(6).)

b. Management abolishes 19 positions in the GS-0560-12-D001 (see Table 3) competitive level. Applying the Department's policy to create retention registers, the Human Resource Office has identified 19 employees in the GS-0560-12-D001 competitive level who are impacted by this reduction, Matthew through Vicki. After releasing the employees with no assignment rights, there are nine surplus employees in the GS-0560-12 competitive level. The nine employees, Leo through Vicki, are released from the GS-0560-12 competitive level and will compete for positions in Round Two based on their retention standing.

Table 3. Sample DoD Retention Register – Competitive Level: GS-0560-12-D001

Name	Rating of Record	Tenure	Average Score Calculation	Veterans' Preference	DoD SCD-RIF
Tenure Groups I and II - 12 Months or More of Assessed Performance					
Maddie	5	I	4.8	AD	17-Dec-1981
Eleanor	5	I	4.8	A	3-Nov-1992
Ian	5	I	4.5	B	6-May-2015
Dylan	5	II	4.8	B	28-Feb-2017
Rich¹	5	II	4.3	A	10-July-2014
Stewart	5	II	4.3	A	18-June-2017
Susan	4	I	4.2	B	12-June-1997
Valerie	4	I	3.5	A	09-July-1997

Table 3. Sample DoD Retention Register – Competitive Level: GS-0560-12-D001, Continued

Name	Rating of Record	Tenure	Average Score Calculation	Veterans' Preference	DoD SCD-RIF
Tenure Groups I and II - 12 Months or More of Assessed Performance					
Sherri	4	I	3.5	B	06-Aug-1998
Peter	4	II	4.3	B	05-Sept-2017
Jason	3	I	3.9	A	13-Aug-2015
Regina	3	I	3.8	A	19-Aug-1986
Garrett ³	3	I	3.0	B	05-Sep-2013
Vicki ⁴	3	II	3.7	B	27-March-2017
Brandon	3	II	3.0	A	03-Jan-2017
Justin	2	I	2.0	AD	10-Jan-2012
Tenure Groups I and II - Less than 12 Months of Assessed Performance					
Dan ⁵	5	II	4.6	A	01-July-2018
Seth ⁶	5	II	4.6	B	15-May-2018
Edson	3	II	3.8	B	15-May-2018
Courtney	3	II	3.8	B	1-Jan-2019
Julie ⁷	N/A	I	N/A	A	15-April-2014
Leo	N/A	II	N/A	A	1-March-2019
Unacceptable Rating – Level 1					
Brittany	1	I	3.0	AD	10-Nov-2000
Jeff	1	I	2.8	A	1-Oct-1977
Wilson	1	I	2.8	B	15-Jan-2003
Emily	1	II	1.0	B	12-Dec-2016
Tenure Group III – Term - 12 Months or More of Assessed Performance					
Bobby	3	III	3.8	AD	24-Aug-2015
Lisa	3	III	3.8	A	7-Dec-2017
Tenure Group III – Term - Less than 12 Months of Assessed Performance					
Dean	5	III	5.0	B	6-April-2018
Chris	3	III	3.0	A	6-April-2018
Jessica	N/A	III	N/A	B	1-March-2019
Matthew	1	III	1.0	B	15-Jan-2019

Table 3. Sample DoD Retention Register – Competitive Level: GS-0560-12-D001, Continued

- ¹ Rich was hired after Stewart; however, Rich’s DOD SCD-RIF was adjusted based on his prior creditable military service. Therefore, Rich is listed above Stewart on the retention register.
- ² Paula’s two most recent performance appraisals cover 6 months of assessed performance: a 90-day appraisal from another government agency, and a 90-day DoD appraisal. Jason has two performance appraisals covering a 24-month period of assessed performance. Both Paula and Jason are categorized as having 12 or more months of assessed performance. Although Paula’s last two performance appraisals cover only 6 months of assessed performance, the total months of assessed performance reflected in her ratings of record rendered over the most recent 4 year period reflect an additional 9 months of assessed performance in that period of time (prior to her last two appraisals). Accordingly, both Paula and Jason are categorized as having 12 or more months of assessed performance. It is important to note that even employees with lengthy periods of federal and DoD service may have unusual rating patterns and periodicity.
- ³ Garrett is a Tenure Group I employee who has been serving as a full-time union official. He has no rating of record within the 4-year period preceding the “cutoff date” established for RIF, and thus has received a modal rating for his last two performance appraisals.
- ⁴ Vicki transferred to DoD after 1 year of service at another federal agency, at which time she received a performance appraisal from that agency. After 8 months at DoD, which coincided with the end of a rating cycle, Vicki received a DoD performance appraisal. Vicki has a total of 20 months of assessed performance and is thus considered in the category of 12 or more months of assessed performance for purposes of RIF. The average of the ratings of record reflected on the performance appraisal from the other federal agency combined with the rating received from DoD, averages 3.
- ⁵ Dan transferred to DoD from another federal agency after 3 months of service, for which he was given a performance appraisal. After 3 months in his new DoD position, which coincided with the end of a rating cycle, he received a performance appraisal from DoD. Notwithstanding his two performance appraisals, Dan only has a total of 6 months of assessed performance. Accordingly, he is considered in the category of less than 12 months of assessed performance.
- ⁶ Like Dan, Seth has two performance appraisals that together reflect less than 12 months of assessed performance. Dan and Seth have identical results in the rating of record, tenure, and average score calculations. Ultimately, Dan is listed above Seth on the retention register given that Dan is entitled to veterans’ preference whereas Seth is not.
- ⁷ Julie is reinstatement eligible (hence her Tenure Group I status) with several years of prior service. She returned to federal service less than a year before the RIF occurred (her DoD SCD-RIF reflects her reinstatement date) and her most recent performance appraisal is more than 4 years old.

3A.2. ROUND TWO.

In Round Two, beginning with the highest retention standing surplus employee (Vicki) released from Round One, the Human Resource Office will locate the lowest retention standing employee within the GS-0560-11-D001 competitive level that is below the retention standing of Vicki. Once the lowest retention standing employee is identified, a review of Vicki’s current and past position descriptions and resumes will determine if she is fully qualified to displace that employee. If it is determined that Vicki is fully qualified, Vicki will be placed in the position on the effective date of the RIF. The employee displaced by Vicki will be released from the

competitive level in Round Two. This process is repeated until all employees are either placed or separated.

a. It has been determined that Vicki is fully qualified for the GS-0560-11-D001 competitive level. Vicki displaces Mia because Mia is the employee with the lowest retention standing within the GS-0560-11-D001 competitive level.

b. It has been determined that Brandon is fully qualified for the GS-0560-11-D001 competitive level. Brandon displaces Liam because Liam is the next employee with the second lowest retention standing within the GS-0560-11-D001 competitive level.

c. All remaining GS-0560-12 surplus employees released from Round One, Leo through Justin, are separated in Round Two because there are no other lower retention standing employees within the GS-0560-11-D001 competitive level.

Table 4. Sample DoD Retention Register – Competitive Level: GS-0560-11-D002

Name	Rating of Record	Tenure	Average Score Calculation	Veterans' Preference	DoD SCD-RIF
Tenure Groups I and II - 12 Months or More of Assessed Performance					
Jeremy	5	I	5.0	A	30-Sept-2012
Tracy	5	I	5.0	B	7-Apr-1995
Elijah	5	I	4.8	AD	12-May-2007
Tyler	5	I	4.8	A	8-Feb 2006
Hannah	5	I	4.5	B	20-Oct-2016
Kristin	5	II	4.8	B	5-Aug-2017
Maria	5	II	4.3	A	18-July-2012
Michael	5	II	4.3	A	10-Sept-2017
Vanessa	4	I	4.2	B	12-Dec-2000
Laura	4	I	4.0	B	9-June-2007
Timothy	4	I	4.0	B	18-Oct-2009
Scott	4	I	4.0	B	21-Aug-2014
Robert	4	I	3.5	A	24-Jun-2006
Mark	4	I	3.5	B	7-Jan-2010
Sarah	4	II	4.3	B	10-Sept-2017
Taylor	4	II	3.5	B	10-Sept 2017
John	3	I	3.9	AD	5-Jan-2011
Alexis	3	I	3.9	A	14-March-2005
Mark	3	I	3.8	A	30-Jan-2012
Megan	3	I	3.0	B	4-Apr-2014
Olivia	3	II	3.5	B	3-Jan-2017
Liam	3	II	3.0	B	10-Sept-2017
Tenure Groups I and II - Less than 12 Months of Assessed Performance					
Mia	3	II	3.0	B	1-Jan-2019

APPENDIX 3B: SAMPLE REQUEST FOR COORDINATION

Figure 1. Sample Request for Coordination for RIFs

Name of activity:
Location:
Gaining Location (if RIF occurs as a result of transfer of function or realignment):
Nature of action and proposed effective date:
Reason for action:
Number of personnel affected:
Total number of civilian employees at the affected location:
Actions taken to mitigate reductions: (e.g., the use of voluntary early retirement authority or voluntary separation incentive payments, hiring freezes, terminating temporary employees, reductions in work hours, retraining, and curtailing discretionary spending).
Funding impact: Savings: (salaries and other costs avoided by the proposed action) Costs: (separation pay, severance pay, unemployment compensation, relocation costs, other)
Estimated effect on local economy:
Names and districts of Members of Congress to be notified:
Proposed press announcement or statement that no press announcement is planned:

GLOSSARY

G.1. ACRONYMS.

ACRONYM	MEANING
BRAC	base realignment and closure
CFR	Code of Federal Regulations
DASD(CPP) DPMAP	Deputy Assistant Secretary of Defense for Civilian Personnel Policy Defense Performance Management and Appraisal Program
RIF	reduction in force
SCD-RIF	service computation date–reduction in force
U.S.C.	United States Code
USD(P&R)	Under Secretary of Defense for Personnel and Readiness

G.2. DEFINITIONS.

Unless otherwise noted, these terms and their definitions are for the purposes of this issuance.

TERM	DEFINITION
competitive area	Organizational entities and geographic locations in which employees compete under RIF procedures.
competitive level	All positions in a competitive area that are in the same grade (or occupational level) and classification series, and that are similar enough in duties, qualification requirements, pay schedules, and working conditions such that an agency may reassign the incumbent of one position to any of the other positions in the competitive level without undue interruption.
local commuting area	The geographic area that usually constitutes one area for employment purposes. It includes any population center and the surrounding localities in which people live and can reasonably be expected to travel back and forth daily to their usual employment.
modal rating	The rating of record most frequently given among the actual ratings of record, given to employees within the same competitive area, for the appropriate rating cycle or cycles.

TERM	DEFINITION
performance appraisal	For purposes of a RIF conducted under this volume, “performance appraisal” encompasses the rating of record and the associated documentation used to derive the rating of record, the performance elements, the performance element ratings, and the average score.
tenure group	Defined in Section 351.501(b) of Title 5, CFR, for competitive service and Section 351.502(b) of Title 5, CFR, for excepted service. Competitive service Tenure Group II employees serve a probationary period pursuant to Section 1599e of Title 10, U.S.C.
unacceptable rating of record	Any employee whose rating of record as reflected in his or her most recent performance appraisal is a level “1” in the DPMAP or the equivalent in a non-DPMAP performance management and appraisal program, as determined by the conversion guidelines set forth in this volume.

REFERENCES

Code of Federal Regulations, Title 5

DoD Directive 1400.25, “DoD Civilian Personnel Management System,” November 25, 1996

DoD Directive 5124.02, “Under Secretary of Defense for Personnel and Readiness (USD(P&R)),” June 23, 2008

DoD Instruction 1400.25, Volume 431, “DoD Civilian Personnel Management System: Performance Management and Appraisal Program,” February 4, 2016, as amended

DoD Manual 8910.01, Volume 1, “DoD Information Collections Manual: Procedures for DoD Internal Information Collections,” June 30, 2014, as amended

United States Code, Title 10

United States Code, Title 38