

# 13

## Adjustment in Force (AIF)

### Lesson Objectives

After completing this lesson, you will be able to:

- Define Adjustment in Force (AIF) and explain its purpose.
- Describe ways in which AIF can be avoided.
- Discuss situations that require the use of competitive AIF procedures.
- Discuss procedures for required advance notification to USD(I) to proceed with executing an AIF.
- Define competitive areas and describe factors on which they are based.
- List factors that may determine a competitive area.
- Describe the AIF retention factors.
- Define the three tenure groups and subgroups in AIF.
- Describe how the performance score is obtained.
- List additional considerations when developing a retention register.
- Describe reasons for displacement and explain how employees are displaced and released.
- List and describe situations that would merit temporary postponement of an employee's release.
- Describe situations in which competitive AIF procedures are used for furloughs.
- Define transfer of function (TOF).
- Describe the AIF Appeals Committee (AIF AC) and identify to whom it does and does not apply.
- Describe what an employee can appeal when affected by an AIF and how an employee appeals.

- List the different organizations to which an appeal can be submitted, and identify which employees can appeal to these organizations.
- List and describe outplacement services provided to employees separated as a result of an AIF.

## Topics

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## LESSON 13 INTRODUCTION

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**Duration:** Allow at least 90 minutes for this lesson.

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### Instructor Notes:

- Show slide 13-1, “Lesson 13: Adjustment in Force.”
- Participant Guide page 13-3



# Lesson 13: Adjustment in Force

Duration: 90 minutes

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**Your Notes:**



### Instructor Notes:

- Show slide 13-2, “Lesson 13 Topics.”
- Participant Guide page 13-4



### Lesson 13 Topics

#### Lesson 13 Topics

- Topic 1 – Appropriate Use for AIF Procedures
- Topic 2 – Competitive Areas for AIF Competition Purposes
- Topic 3 – AIF Retention Factors
- Topic 4 – Furloughs and Transfer of Function
- Topic 5 – AIF Appeals process
- Topic 6 – Outplacement Assistance Available to DCIPS Employees
- Topic 7 – Retention Register Exercise



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### Your Notes:



### Speaking Points:

- This lesson provides **an overview of Adjustment in Force (AIF)** DCIPS Volume 2004, including retention factors, furloughs and transfers of function, and the AIF appeals process. Additionally, you will learn when and how AIF processes are used.
- AIF is the Title 10 workforce shaping or reduction policy similar to the Title 5 Reduction in Force (RIF). There are key distinctions to be aware of between the two policies.
- We begin this lesson with a discussion of situations that require the use of AIF procedures, as well as ways in which AIF can be avoided.

## TOPIC 1: SITUATIONS WHEN AIF PROCEDURES ARE APPROPRIATE FOR USE



### Instructor Notes:

- Show slide 13-3, “Appropriate Use.”
- Participant Guide page 13-5



### Appropriate Use

#### Appropriate Use for AIF Procedures



- AIF Avoidance Strategies
- Situations Requiring the Use of Competitive AIF Procedures
- USD(I) Notification
- Employee Notification

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### Your Notes:

- Refer participants to *Appropriate Use for AIF Procedures* in the *What You Should Know* box on page 13-5\_13-6 of the Participant Guide and ask them to review the material. Information is shown below for your reference.
- Conduct a Q&A session with the participants. Suggested questions and answers are provided in the speaking points.

**Speaking Points:** (These questions are on PG 14-6)

- In what ways can an AIF be avoided? (*Answer:* Resource planning, job changes or retraining, voluntary early retirement authority, separation incentives, and pre-AIF placement for eligible employees.)
- What situations require the use of competitive AIF procedures? (*Answer:* Separation, reduction in work level, pay band, or grade; furlough for more than 30 consecutive days or more than 22 cumulative workdays; or, as a result of workforce shaping, e.g., lack of work; shortage of funds; reorganization.)
- How many days before the planned AIF effective date must USD(I) receive notification? (*Answer:* 120 days.)
- How many days before the planned AIF effective date should potentially affected employees receive notification? (*Answer:* General plans: 90 days, specific written notice: 60 days.)
- What is general notice and what is specific notice? (*Answer:* General notice is a general plan for AIF, such as announcement on a splash page or individual letters stating an AIF could occur. A specific notice is specific to an employee and tells them what the impact of the AIF will be on them.)

**What You Should Know:*****Appropriate Use for AIF Procedures***

- Adjustment in Force (AIF) is the workforce shaping or reduction mechanism for releasing Defense Intelligence employees from competitive areas in order of tenure, veterans' preference, performance score, and length of service.
- Components should make every reasonable effort to avoid an AIF. This can be done in a variety of ways: resource planning, job changes or retraining, voluntary early retirement authority, separation incentives, and pre-AIF placement for those employees eligible for placement assistance and referral programs.
- Situations that require the use of competitive AIF procedures include:
  - Separation
  - Reduction in work level, pay band, or grade
  - Furlough for more than 30 consecutive days or more than 22 cumulative

**What You Should Know:**

- workdays
- Result of workforce shaping (e.g., lack of work; shortage of funds, reorganization)
  - USD(I) must be notified of an AIF at least 120 days before the planned AIF effective date.
  - Employees who may be affected by an AIF should be notified of general plans at least 90 days before the planned AIF effective date.
  - Specific written notice should be provided to the employee at least 60 days before the AIF effective date.
  - Records related to an AIF must be retained for at least 2 years after the final action has been taken.

## TOPIC 2: COMPETITIVE AREAS FOR AIF COMPETITION PURPOSES



### Instructor Notes:

- Show slide 13-4, “AIF Competition.”
- Participant Guide page 13-7



### AIF Competition

#### Competitive Areas for AIF Competition Purposes

One of the key components for AIF planning is the establishment of competitive areas



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### Your Notes:

- Inform participants that one of the key components for AIF planning is the establishment of competitive areas.
- Refer participants to *AIF Competitive Areas* in the *What You Should Know* box on page 13-7\_13-8 of the Participant Guide. Information is shown below for your reference.



## What You Should Know:

### *AIF Competitive Areas*

- Competitive areas establish the geographical and organizational limits of AIF competition.
- There may be more than one competitive area in an AIF.
- Components should determine competitive areas at least 90 days prior to the effective date of an AIF.
- Competitive areas in AIF are defined as the combination of geographic area and any of the factors listed below:
  - Work category
  - Work level
  - Pay band
  - Grade
  - Organizational unit
  - Occupational group
  - Funding lines of business
- For Defense Intelligence Senior Level (DISL) positions, competitive areas may be based on:
  - Geographical location
  - Organizational unit
  - Technical qualifications
  - Funding lines of business
- If an AIF will affect Defense Intelligence Senior Executive Service (DISES) position, the Component must follow procedures contained in Volume 2002 (upon approval).
- The minimum geographic competitive area is the local commuting area.
- An employee's competitive area is determined by his/her official position or work role of record.



### Speaking Points:

- Instruct participants to call out the words that are missing as you read each sentence and fill in the corresponding blanks in their Participant Guides on page 13-9.
- Competitive areas establish the \_\_\_\_\_ and \_\_\_\_\_ limits of AIF competition. (*Answer:* geographical and organizational)
- Components should determine competitive areas at least \_\_\_ days prior to the effective date of an AIF. (*Answer:* 90)
- What are the factors that may determine a competitive area? (*Answer:* geographic area plus any of the other factors such as work category, work level, pay band or grade, organizational unit, occupational group, or funding lines of business.)
- For DISL positions, competitive areas may be based on \_\_\_\_\_ (*Answer:* geographical location; organizational unit; technical qualifications; and/or funding lines of business.)
- The minimum geographic competitive area is the local \_\_\_\_\_ area. (*Answer:* commuting)
- An employee's competitive area is determined by his/her \_\_\_\_\_ or work role of record. (*Answer:* official position)
- Next, we will discuss how the retention standing of employees impacted by AIF is determined.

## TOPIC 3: AIF RETENTION FACTORS

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### Instructor Notes:

- Show slide 13-5, “AIF Retention Factors.”
- Participant Guide page 13-10



### AIF Retention Factors

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#### AIF Retention Factors

Retention registers are used in AIF to document each employee’s retention standing.

An employee’s retention standing is based on a combination of:

- Tenure
- Veterans’ Preference
- Performance
- Length of Creditable Service



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### Your Notes:

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### Speaking Points:

- There **may be more than one competitive area** in an AIF.
- Employees have **no right of assignment beyond their competitive area** during an AIF (They have “bump” without “retreat”).
- Let’s discuss each of the retention factors in more detail.

### What You Should Know:

#### *AIF Retention Factors*

- **Employees occupying positions in the same competitive area compete for positions based on their retention standing.**
- An employee’s retention standing is **based on a combination** of their tenure, veterans’ preference, performance, and length of creditable service.
- The retention standing is determined only for those employees competing for positions under AIF **in the established competitive area**. These employees are **then placed on a retention register in order** of their retention standing.
- Throughout AIF proceedings, employees **can displace other employees with lower retention standing** within the assigned competitive area **if they are qualified** for the position.
- Employees have no right of assignment beyond their competitive area during an AIF.

**Instructor Notes:**

- Show slide 13-6, “Tenure Groups.”
- Participant Guide page 13-11

**Tenure Groups****Tenure Groups**

There are three tenure groups in DCIPS:

- Tenure Group I - Permanent employees not currently serving a trial period
- Tenure Group II - Employees in permanent appointments currently serving a trial period
- Tenure Group III - All employees serving on non-permanent appointments of any kind that are more than 1 year in duration, or result in continuous employment for more than 1 year

Note: For the purposes of AIF competition, Tenure Groups I and II are combined into Tenure Group I

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**Your Notes:**

**Speaking Points:**

- We'll begin our discussion of retention factors with tenure groups.
- There are three tenure groups. If someone asks about tenure group 0 (zero), explain this is a 'null' category because they have no tenure, so they are not included in the tenure groups for AIF purposes.
- **The employee's tenure groups don't change but all the people in tenure group I and II are merged for AIF purposes.**

**What You Should Know:***Retention Factors – Tenure Groups*

- There are three tenure groups in DCIPS:
  - Tenure Group I includes permanent employees not currently serving a trial period.
  - Tenure Group II includes employees in a permanent appointment currently serving a trial period.
  - Tenure Group III includes all employees serving on non-permanent appointments of any kind that are more than 1 year in duration, or result in continuous employment for more than 1 year.
- For the purposes of AIF competition, **Tenure Groups I and II are combined into Tenure Group 1** in order to provide high-performing, recently hired employees retention opportunity during an AIF.

**Instructor Notes:**

- Show slide 13-7, “Veterans’ Preference.”
- Participant Guide page 13-12

**Veterans’ Preference****Veterans’ Preference**

Subgroups for AIF purposes:

- Subgroup AD includes veterans who are eligible for veteran’s preference and who have a compensable service-connected disability of 30 percent or more
- Subgroup A includes veterans eligible for veteran’s preference who are not eligible for Subgroup AD (including eligible spouses, widows or widowers, and mothers of veterans)
- Subgroup B includes nonveterans and others not eligible for veteran’s preference in Subgroups AD and A



**NOTE:** Not all veterans get veteran’s preference for AIF. Confirm a veteran’s status using official documentation if questions arise.

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**Your Notes:**



### Speaking Points:

- **After employees have been placed on the retention register by tenure group and veterans' preference, they are listed in descending order based on their performance scores.** We'll talk about how to compute the performance score next.

### What You Should Know:

#### *Retention Factors – Veterans' Preference*

- **Once the Tenure Groups I and III have been established** according to the preceding guidance, **they are divided into three subgroups based on the employee's entitlement to veterans' preference** for AIF purposes. These subgroups are as follows:
  - Subgroup AD includes veterans who are eligible for preference and who have a compensable service-connected disability of 30 percent or more.
  - Subgroup A includes veterans eligible for preference who are not eligible for Subgroup AD (including eligible spouses, widows or widowers, and mothers of veterans).
  - Subgroup B includes nonveterans and others not eligible for preference in Subgroups AD and A.





### Instructor Notes:

- Show slide 13-8, “Employee Performance Score.”
- Participant Guide page 13-13



### Employee Performance Score

#### Employee Performance Score



- How is an employee’s performance score determined?
- What happens if there are less than three DCIPS Performance Evaluations of Record and there are no other Evaluations of Record available to convert to DCIPS ratings?
- What about employees who have no evaluations of record for the 4-year period?

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### Your Notes:

- Refer participants to ***Retention Factors – Employee Performance Score*** in the *What You Should Know* box on pages 13-13\_13-14 of the Participant Guide. Information is shown below for your reference.
- Conduct a Q&A session with participants. Suggested questions and answers are provided in the speaking points.



**Speaking Points:** Questions are listed in the Participant Guide page 13-16

- How is an employee's performance score determined? (*Answer:* By averaging the employee's three most recent DCIPS overall Performance Evaluations of Record received during the 4-year period prior to the established deadline for receipt of Performance Evaluations of Record.)
- What happens if there are fewer than three DCIPS Performance Evaluations of Record and there are no other Evaluations of Record available to convert to DCIPS ratings? (*Answer:* The existing DCIPS Performance Evaluations of Record will be averaged to the first decimal point to determine the performance score.)
- What about employees who were not part of a mass organizational conversion, meaning they transferred individually to a Defense Intelligence position, who do not have a DCIPS Performance Evaluation of Record yet? (*Answer:* Those employees are assigned a converted DCIPS Evaluation of Record of 3, "Successful." The modal evaluation of record for the competitive area will be assigned to those employees.)
- What if an employee is missing Evaluations of Record? (*Answer:* Good oversight of the performance management process should ensure this doesn't happen, but if it does and the employee does not have any Evaluations of Record, the employee shall be assigned the modal evaluation of record for the competitive area.)

## What You Should Know:

### *Retention Factors – Employee Performance Score*

- After employees are placed on the retention register by tenure group and veterans' preference, they will be listed in descending order based on their performance score.
- The employee's performance score is determined by averaging, to the first decimal point, the three most recent DCIPS overall Performance Evaluations of Record received during the 4-year period prior to the deadline for receipt of Performance Evaluations of Record.
- In those cases where there are fewer than three DCIPS Performance Evaluations of Record, and there are no other evaluations of record available to convert to DCIPS ratings, the existing DCIPS Performance Evaluations of Record will be

**What You Should Know:**

averaged to the first decimal point to determine the performance score.

- Example: An employee was hired right out of college. She only has two performance Evaluations of Record. No other evaluations to be considered. Average the two evaluations that she has.
- Situations where employees have no Evaluations of Record for the 4-year period, meaning one was never done, or not documented, should be exceptionally rare, however, in the event that this does occur, the modal evaluation of record for the competitive area will be assigned to those employees.
  - Example: Employee moved around a lot and supervisors changed constantly, so employee does not have an Evaluation of Record. The modal rating for the competitive area is 4.1, then 4.1 is used for this employee.
- Employees who were not part of a mass organizational conversion, meaning they transfer to DCIPS individually, and who have not yet received a DCIPS Performance Evaluation of Record shall be assigned a converted DCIPS Performance Evaluation of Record of 3, “Successful.”
  - Example: An employee was selected for a new job in a DCIPS organization about 10 months ago. She is new to DCIPS and does not have a DCIPS performance evaluation of record. She will be assigned a 3 for purposes of the AIF.
- Employees who are part of a mass conversion into DCIPS, and have a non-DCIPS evaluation that is found to be equivalent to the DCIPS Performance Evaluation of Record of Outstanding, Excellent, Successful, Minimally Successful, or Unacceptable, will be assigned an overall converted DCIPS Performance Evaluation of Record consistent with the original rating (5, 4, 3, 2 or 1).
  - Example: Thirty intelligence specialists originally assigned to a position not covered under DCIPS policies in Organization A, were mass converted to Organization B, a Defense Intelligence Component. Organization A’s performance management system was reviewed and found to be equivalent to the DCIPS performance management system. It was a 5 level evaluation system and, while the labels were different, the numerical descriptions were found to be similar. As an equivalent, the performance Evaluations of Record from the previous system are used.
- Only those Performance Evaluations of Record that are available for use by the

**What You Should Know:**

office responsible for processing the AIF at least 90 days prior to the effective date of the AIF may be included in the computation of the AIF performance score.

- To be creditable, an Evaluation of Record need not have been signed by the employee, but must have been issued to the employee with all appropriate supervisory reviews accomplished and rater and reviewer signatures.
- The performance score for DISL employees will be computed by using DISL performance ratings consistent with DoDI 1400.25, Volume 920.
- Components continue to use the converted ratings for employees who transferred to individually to a Defense Intelligence position as well as those who were a part of a mass conversion until they have three official DCIPS Performance Evaluations of Record.
  - Example: An employee transfers to a Defense Intelligence Component from a position not covered under DCIPS policy. Should an AIF be required within the employee's first year of employment, the employee will receive a converted DCIPS Performance Evaluation of Record of 3 ("Successful"). If the employee remains at that Component, and an AIF is required the second year, the employee now has one earned DCIPS Performance Evaluation of Record (4) that will be averaged with the converted rating (3). His performance score is then  $3+4=7/2 = 3.5$ . If the employee remains at the Component, and an AIF is required for the third year, the employee now has two earned DCIPS Performance Evaluations of Record. His performance score is calculated by averaging the earned DCIPS performance ratings (4 and 3), and the converted rating (3). His performance score is then  $3+4+3=10/3 = 3.33$ , rounded to 3.3. If an AIF is required in the fourth year, the employee will now have three DCIPS Performance Evaluations of Record and his performance score will no longer include the converted rating.



### Instructor Notes:

- Show slide 13-9, “Creditable Service.”
- Participant Guide page 13-17



### Creditable Service

#### Creditable Service

All creditable Federal and military service as defined by Section 351.503 of Title 5, Code of Federal Regulations, will be included. Credit for military service will be computed in accordance with section 3502(a) of Title 5, United States Code.



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### Speaking Points:

- The **final factor required to be taken** into consideration when developing a retention register is the **employee’s creditable service**.
- Components **may add** additional retention factors that may be taken into consideration or applied when developing a retention register.

### What You Should Know:

#### *Retention Factors – Creditable Service*

- Creditable service is the final required consideration when placing an employee on a retention register.
- All creditable Federal and military service as defined by section 351.503 of title 5, Code of Federal Regulations, will be included in the overall calculation for total creditable service. Policy requires that credit for military service be computed in accordance with section 3502(a) of title 5, United States Code.



### Instructor Notes:

- Show slide 13-10, “Additional Retention Factors.”
- Participant Guide page 13-18



### Additional Retention Factors

#### Additional Retention Factors—‘Tiebreakers’



Additional tiebreaking procedures may be used by Components to determine an employees’ final retention standing as long as the workforce is notified of the measures in advance of a planned AIF

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### Your Notes:

- Refer participants to ***Retention – Additional Factors*** in the *What You Should Know* box on page 13-17 of the Participant Guide and ask them to follow along as you discuss the additional factors in the speaking points.

**Speaking Points:**

- The ‘Special Situations that are Not Tiebreakers’ WYSK box may come up and are not considered tiebreakers, but special situations.
- Now let’s look at the specific guidelines as to how employees are displaced and released once the retention register is established. These guidelines are detailed further in Volume 2004.

**What You Should Know:***Retention – Additional Factors*

- Additional tiebreaking procedures may be used by Components to determine an employees’ final retention standing as long as the workforce is notified of the measures in advance of a planned AIF.

**What You Should Know:***Special Situations that are Not Tiebreakers*

- Employees who are Reservists or members of the National Guard on active duty, and who have restoration rights, will not be listed on the retention register.
- An employee who has received, in advance of the effective date of the AIF, a final written decision of removal will not compete for retention.
- An employee who, prior to the AIF effective date, has been notified of a reduction in work level, pay band, or grade will compete for retention based on the new position.
- Though employees absent due to workers’ compensation have no special protections during an AIF, they may not be denied placement rights because of their injury. Restoration rights are terminated if an employee is separated through an AIF.



### Instructor Notes:

- Show slide 13-11, “Displacement.”
- Participant Guide page 13-19



### Displacement

- Research your assigned topic on Displacement:
  - Displacement
  - Order of displacement and release
  - Postponement of release
- Refer to the WYSK box *Displacement, Order of Displacement and Release, and Exceptions to Order of Release* on pages 13-19\_13-21 of the Participant Guide.
- Record notes on the worksheet on page 13-22.

### Your Notes:

- Refer participants to *Displacement, Order of Displacement and Release, and Exceptions to Order of Release* in the *What You Should Know* box on pages 13-19\_13-21 of the Participant Guide. Information is shown below for your reference.
- Participants should record their notes on the worksheet on Participant Guide page 13-22.
- Divide the class into three groups. Each group will research one of the sections and report their findings to the other two groups.
- Allow groups 5 minutes to research and 3 minutes each to share the information.



## What You Should Know:

### *Displacement*

- Displacement is caused when the employee's position is abolished, or when an employee with higher retention standing in the same competitive area is moved into the position of an employee of lower retention standing.
- An employee must be qualified for the lower standing employee's position and must be able to satisfactorily perform the duties of the position without undue interruption.
- An employee on a leave of absence because of a compensable injury may not be denied an assignment right solely because of the disqualification that resulted from the compensable injury. The employee must be afforded appropriate assignment rights subject to recovery as provided by U.S.C. 8151.
- If an employee is a veteran eligible for AIF preference with a compensable service-connected disability of 30 percent or more, (included in veterans' preference Subgroup AD) and is found to be physically unqualified for an assigned position, the Component will follow the procedures outlined in Volume 2004 to obtain a final determination from the AIF Appeals Committee (AIF AC) regarding the employee's physical ability to perform the duties of the position.

### *Order of Displacement and Release*

- Components shall select employees for release from the retention register in the inverse order of retention standing, beginning with the employee with the lowest retention standing.
- The employee with the highest retention standing whose position has been abolished will be placed first. This process continues for each employee whose position has been abolished, or whom another employee has displaced, in descending retention standing order.
- All employees in Tenure Group III will be released before any employees in Tenure Group I are released. While Tenure Group III employees can participate in an AIF, it may be more appropriate to terminate temporary and term appointments. Temporary and term appointments can be terminated at any time under policy provided in Volume 2005.
- All employees in veterans' preference Subgroup B will be released before any employee in Subgroup A is released, and all employees in Subgroup A will be released before any employee in Subgroup AD.
- Within each Subgroup, employees will be released in order of performance score,

## What You Should Know:

with the lowest performance scores released first.

- If two or more employees within the same Subgroup have the same performance score and at least one, but not all of the employees must be released, the employee with the least amount of creditable service will be released first.
- When employees in the same retention Subgroup have identical service dates and are tied for release, the Component may determine which employee to release by applying a tiebreaking procedure that was announced to the workforce as required and noted above.
- Employees on temporary assignment to another position or organization still compete within their competitive area based on their permanent position of record. For example, Tom is on JDA from Defense Intelligence Component A to Defense Intelligence Component B. Component A is effecting an AIF and even though Tom is currently assigned to Component B, he is included in the AIF at Component A because that is his permanent position of record.

### *Exceptions to Order of Release*

- Employees must be given a temporary postponement of release from a retention register in certain situations:
  - A Tenure Group I employee who is entitled to military service restoration rights will be given retention priority over other employees in the same Subgroup, regardless of other retention factors (performance score or length of service), and may not be separated or reduced in work level, pay band or grade, except for cause, for a designated period of time as specified in Section 353.209 of Title 5 CFR..
  - A temporary exception will be made to retain an employee in an annual leave status in order for the employee to establish initial eligibility for immediate retirement, and/or to establish initial eligibility for continuation of health benefits coverage. In this situation, an employee must use accrued annual leave; the employee may not be advanced annual leave for this purpose.
- An employee may be retained if he/she is performing duties that cannot be assumed within 90 calendar days by an employee with higher-retention standing without undue interruption to the mission.
- Volume 2004 discusses other temporary exceptions to the order of release which will be limited to 90 calendar days, e.g., to continue an activity without undue interruption.

### What You Should Know:

- When all positions in the competitive area are abolished, an exception to the order of release may be made such that employees may be released without regard to performance or creditable service time. However, employees must be released in subgroup and tenure group order. This exception may be applied within 1 year of the date of liquidation.



### Speaking Points:

- **There is no inherent right to a position offer** under AIF. However, once a position is offered to an employee, the employee is entitled to that specific offer. Let's discuss the parameters of position offers.

**Instructor Notes:**

- Show slide 13-12, “Position Offers.”
- Participant Guide page 13-23

**Position Offers****Position Offers**

Once a position is offered to an employee, the employee is entitled to that specific offer



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**Your Notes:**

- Refer participants to ***Position Offers*** in the *What You Should Know* box on pages 13-23\_13-24 of the Participant Guide and ask them to follow along as you discuss the speaking points.

**Speaking Points:**

- Emphasize the highlighted text in the WYSK box below.

**What You Should Know:***Position Offers*

- **Employees will be offered placement in a permanent position**, to include those in a developmental program, **occupied by an employee with lower retention standing in the same competitive area**, for which the employee is considered **qualified** and does **not result in a promotion**.
- For those in the banded structure, an offer may be made to a position at the same or next lower work level or pay band than the employee's current position.
- For those in the graded structure, an offer may be made to a position at the same or lower work level or grade than the employee's current position, but not more than three grades below the employee's position, using appropriate progression schedules (i.e. single grade or 2 grade pay).
- The employee will be placed in pay retention if the employee pay rate exceeds the maximum rate for the pay band or grade of the position being offered, including the extended range.
- **If the employee accepts, rejects, or fails to reply to the initial offer** within a reasonable period of time, the employee is **not entitled to any further offers**. The Component will define up front what a "reasonable period" is.
- **If a better position** for which the employee is qualified and for which the employee has retention standing becomes available on or before the AIF effective date, **it will be offered** to the employee regardless of whether he/she accepted or declined a previous offer.
- Vacant positions within the employee's assigned competitive area may be offered to employees being displaced through AIF, followed by vacancies outside the employee's competitive area. Acceptance of an offer for a position **outside the employee's competitive area is voluntary**, therefore is **not considered a declination of an official offer**, there are **no ramifications** if the employee declines it.

**Speaking Points:**

- Earlier we learned that situations that require the use of competitive AIF procedures include: separation; reduction in work level, pay band, or grade; furlough for more than 30 consecutive days or more than 22 cumulative workdays; or situations resulting from workforce shaping. There are unique guidelines that apply to furloughs. We'll take a look at them next.
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## TOPIC 4: FURLONGHS AND TRANSFERS OF FUNCTION



### Instructor Notes:

- Show slide 13-13, “Furloughs.”
- Participant Guide page 14-25



### Furloughs

#### Furloughs



Competitive AIF procedures are used for furloughs for more than 30 consecutive days or more than 22 cumulative workdays

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### Speaking Points:

- An all-government furlough does not follow these processes.

### What You Should Know:

#### *Furloughs*

- **Competitive AIF procedures are used for furloughs for more than 30 consecutive days or more than 22 cumulative workdays.**
- A competing employee may not be separated as a result of an AIF while an employee with a lower retention standing in the same competitive area is on furlough.
- An employee may not be furloughed for more than 1 year.
- Employees are recalled to duty in the order of their retention standing, beginning

with the employee with the highest retention standing.



### Instructor Notes:

- Show slide 13-14, “Transfer of Function.”
- Participant Guide page 13-26



## Transfer of Function

### Transfer of Function (TOF)

A “transfer of function” (TOF) occurs when work is moved from one competitive area to another (where that work is not currently being done), or when an entire competitive area is moved to a new local commuting area



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### Your Notes:

- Refer participants to *Transfer of Function (TOF)* in the *What You Should Know* box on page 13-26\_13-27 of the Participant Guide and ask them to follow along as you discuss the speaking points.





### Speaking Points:

- Emphasize the highlighted text in the WYSK box below.
- Next, we'll briefly discuss the appeals procedures for employees who may feel that the AIF procedures have not been applied to them correctly.

### What You Should Know:

#### *Transfer of Function (TOF)*

- A transfer of function (TOF) occurs when **work is moved from one competitive area to another**, or when an entire competitive area is moved to a new local commuting area.
- **The work must cease to be performed in the losing competitive area and be performed by competing employees** (not contracted out) in the new competitive area.
- It is important to remember that the transferred function **must not be one that was being performed** in the new competitive area prior to the time of transfer.
- The displacement and release procedures discussed in this lesson and in Volume 2004 are applied by the losing competitive area and will determine if a competing employee has a right to transfer. This means that the **employee will otherwise be separated or reduced in work level, pay band, or grade if he or she does not transfer.**
- The losing competitive area will select volunteers for the transfer when there are more volunteers for the number of positions required to do the work in the gaining competitive area.
- The **gaining competitive area will establish the retention rights** of the combined population of employees transferring into the new competitive area as well as employees in the gaining competitive area.

## TOPIC 5: AIF APPEALS PROCESS



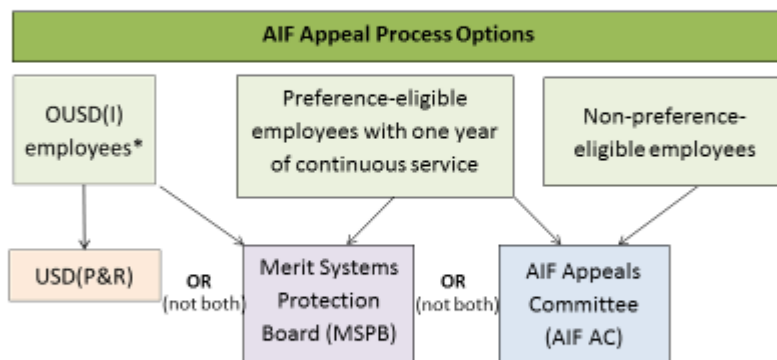
### Instructor Notes:

- Show slide 13-15, “AIF Appeals Process.”
- Participant Guide page 13-29



### AIF Appeals Process

#### AIF Appeals Process



\*OUSD(I) employees do not use the AIF AC. Rather, they use USD(P&R). If eligible, they may also use the MSPB.

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### Your Notes:

- Refer participants to *AIF Appeals Process* in the *What You Should Know* box on page 13-29 of the Reference Guide. Information is shown below for your reference.
- Conduct a brief Q&A session. Suggested questions and answers are provided in the speaking points.



**Speaking Points:** Questions are on Participant Guide page 13-30.

- Though the decision by a Component to conduct an AIF is not subject to appeal, what may an employee appeal? (*Answer:* An alleged wrongful application of AIF procedures.)
- May preference-eligible employees with one year of continuous service appeal to the Merit Systems Protection Board (MSPB) **and** the AIF AC? (*Answer:* No. Such employees may appeal to one or the other, but not both.)

## What You Should Know:

### *AIF Appeals Process*

- Although the decision by a Component to conduct an AIF is not subject to appeal, an employee may appeal an alleged wrongful application of AIF procedures to the AIF Appeals Committee (AIF AC).
- Preference-eligible employees with one year of continuous service may appeal to the Merit Systems Protection Board (MSPB) or to the AIF AC, but not to both.
- Non-preference-eligible employees may appeal only to the AIF AC.
- OUSD(I) employees shall not appeal to the AIF AC because of OUSD(I)'s responsibility for the committee. Alternative procedures are provided for in Volume 2004.
- Volume 2004 discusses the specific composition of the AIF AC, the required content of the appeal, and the procedures by which the AIF AC will render its decision.
- The AIF AC decision is final after legal concurrence.



**Speaking Points:**

- Finally, let's briefly discuss the outplacement assistance programs that may be available to employees who are separated as the result of an AIF.

## TOPIC 6: OUTPLACEMENT ASSISTANCE AVAILABLE TO DCIPS EMPLOYEES



### Instructor Notes:

- Show slide 13-16, “Outplacement Assistance.”
- Participant Guide page 13-31



### Outplacement Assistance

#### Outplacement Assistance



#### Outplacement services:

- DoD Priority Placement Program
- Administrative Referral Assistance
- Severance Pay

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### Your Notes:

- Refer participants to *Outplacement Assistance* in the *What You Should Know* box on pages 13-31\_13-32 of the Participant Guide. Information is shown below for your reference.



### Speaking Points:

- **Outplacement services that may be available** to employees who are separated as a result of an AIF include, **but are not limited to:**
  - DoD Priority Placement Program
  - Administrative referral assistance
  - Severance pay
- **There may be other services available.**
- Take a few minutes to read about each outplacement service in the *What You Should Know* box.

### What You Should Know:

#### *Outplacement Assistance*

- There are specific outplacement services that may be available to employees who are separated as a result of an AIF.
  - DoD Priority Placement Program
    - Unless an employee's Component is specifically excluded from participation, all employees may register for other excepted service positions no higher than their current permanent level or grade.
    - The combat support agencies and portions of other Components are excluded from the participation in the PPP.
    - Employees with personal competitive status eligible to register with the PPP also have the option of registering for competitive service positions but may register no higher than the highest level, or grade, for which they are eligible for reinstatement in the competitive service. Employees will need to be clear when registering that they have previous competitive status.
    - Participating Components will follow the PPP policies set forth in DoDI 1400.25, Volume 1800.
  - Administrative referral assistance
    - Employees who have received written notification of separation as a result of an AIF may seek assistance to publicize their availability for positions within the other Defense Intelligence Components for which they are

**What You Should Know:**

- qualified through practices that may be established by the USD(I) or Components for this purpose.
- Severance pay
    - As separation due to AIF is an involuntary separation (not for reasons of misconduct, delinquency, or inefficiency), employees may be eligible for severance pay, retirement, and other benefits.
    - To be eligible for severance pay, the employee must have been employed for at least 12 continuous months, must not be eligible for immediate retirement, must not be receiving workers' compensation benefits, and must not have refused an offer of a position within the same Component and local commuting area.
    - For employees in organizations operating under the banded structure, this offer may be no more than one work level or pay band below the employee's current position, or no more than one work level or three grades below the employee's current position for employees in the graded structure.

## DCIPS RETENTION PROGRAM (DRP)



### Instructor Notes:

- Show slide 13-17, “DCIPS Retention Program (DRP).”
- Participant Guide page 13-33



### DCIPS Retention Program (DRP)

#### DCIPS Retention Program (DRP)

##### Program Goals

- ✓ Match employees pending separation by AIF with available Defense Intelligence positions for which they are qualified
- ✓ Provide preference to affected employees over candidates external to a Component's
- ✓ Establish a common, repeatable process across Components



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### Your Notes:

- Refer participants to *DCIPS Retention Program (DRP)* in the *What You Should Know* box on pages 13-33 of the Participant Guide. Information is shown below for your reference.



### Speaking Points:

- The DCIPS Retention Program is **the** placement program for Components executing an AIF. The goal of the program is to match employees pending separation by AIF with available Defense Intelligence positions for which they are qualified from around the Enterprise. **The DRP program was developed with input and multiple reviews from all Components.**
- The intent of the DRP is **to retain talent**, and keep existing employees with high clearances within the Defense Intelligence Enterprise. Employees who might otherwise be separated by AIF are given preference for available positions over external applicants/candidates.
- For Components that participate in the Priority Placement Program (PPP), the PPP takes precedence over the DRP. **It's important to note that over 70% of Defense Intelligence positions are not included in the PPP making the DRP the only program applying to employees in those positions.**

### What You Should Know:

#### *DCIPS Retention Program (DRP)*

- The DCIPS Retention Program is the placement program for Components executing an AIF. The goal of the program is to match employees pending separation by AIF with available Defense Intelligence positions for which they are qualified from around the Enterprise. The DRP program was developed with input and multiple reviews from all Components.
- The intent of the DRP is to retain talent, to keep existing employees with high clearances within the Defense Intelligence Enterprise. Employees who might otherwise be separated by AIF are given preference for available positions over external applicants/candidates.
- For Components that participate in the Priority Placement Program (PPP), the PPP takes precedence over the DRP. It's important to note that over 70% of Defense Intelligence positions are not included in the PPP, making the DRP the only program applying to employees in those positions.



## DRP BASICS



### Instructor Notes:

- Show slide 13-18, “DRP Basics”
- Participant Guide page 13-34



### DRP Basics

#### DRP Basics

- DRP Open Period is at least 60 calendar days; start date is tied to issuance of AIF Specific Notice and the Open Period closes the day after AIF Effective Date
- Components choose preferred method for preliminary match decision: Component review or DCIPS PEO review
- DRP Registrants may elect to opt-out of consideration by specific Components in their registration package, but registration in the program is mandatory
- Components are required to take a DRP Registrant for an available position if he/she is qualified



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### Your Notes:

- Refer participants to *DCIPS Retention Program (DRP)* in the *What You Should Know* box on pages 13-34\_13-35 of the Participant Guide. Information is shown below for your reference.



### Speaking Points:

- The DRP Open Period is initiated when the Specific AIF Notice (Individual Employee Notice) is issued to employees who will be effected by AIF. Per Volume 2004, Components are required to give at least 60 days' notice to these employees.
- The Open Period closes the day after the AIF effective date. If separate AIFs are underway at the same time, one does not extend the Open Period for the other. **However, if an employee is still being reviewed on the date that the DRP open period closes, that review continues to determine if there is a match. The AIF effective date does not change.**
- In Phase 1, to maximize time for matching, Components and employees are encouraged to take advantage of Phase 1 "Preparation for DRP" to begin Registration Packages for employees who have received General AIF Notices.
- When Specific AIF Notices are issued, the Component undergoing an AIF sends resumes of affected employees to DCIPS PEO. In Phase 2, the other Defense Intelligence Components select the preliminary matching option best for them:
  - Option 1. DCIPS PEO sends resumes to the Component and they identify preliminary matches to their available positions.
  - Option 2. Component sends information on available positions to DCIPS PEO and DCIPS PEO identifies preliminary matches.
- Registration in the DRP is mandatory for all employees who have received a Specific AIF Notice; **if an employee does not register, the AIFing Component will register for them. Unique to the DRP, DRP Registrants may choose to opt-out of a specific Component when completing their registration package – doing so means they will not be considered for positions at that Component.**
- In Phase 3, Components consider Preliminary Matches and may conduct interviews if necessary.
- In Phase 4, Components identify Matches of a DRP Registrant to one of the available positions and makes an offer. Components must offer an available position to a DRP Registrant if he/she is qualified.
- In Phase 5, the DRP Open Period is closed **and final reports are sent to the DCIPS PEO.** Any DRP Registrants not placed by the day after

the AIF Effective Date **are separated according to their specific AIF notice.**

## What You Should Know:

### *DRP Basics*

- The DRP Open Period is initiated when the Specific AIF Notice (Individual Employee Notice) is issued to employees who will be effected by AIF. Per Volume 2004, Components are required to give at least 60 days' notice to these employees.
- The Open Period closes the day after the AIF effective date. If separate AIFs are underway at the same time, one does not extend the Open Period for the other. However, if an employee is still being reviewed on the date that the DRP open period closes, that review continues to determine if there is a match. The AIF effective date does not change.
- In Phase 1, to maximize time for matching, Components and employees are encouraged to take advantage of Phase 1 "Preparation for DRP" to begin Registration Packages for employees who have received General AIF Notices.
- When Specific AIF Notices are issued, the Component undergoing an AIF sends resumes of affected employees to DCIPS PEO. In Phase 2, the other Components select the preliminary matching option best for them:
  - Option 1. DCIPS PEO sends resumes to all Components and they identify preliminary matches to their available positions.
  - Option 2. Each Component sends information on available positions to DCIPS PEO and DCIPS PEO identifies preliminary matches.
- Registration in the DRP is mandatory for all employees who have received a Specific AIF Notice; if an employee does not register, the AIFing component will register for them. Unique to the DRP, registrants may choose to opt-out of receiving an offer from a specific Component when completing their registration package – doing so means they will not be considered for positions at that Component.
- In Phase 3, Components consider "preliminary matches" and conduct interviews (as necessary).
- In Phase 4, Components identify matches of one DRP registrant to one available position and make offers. Components must offer an available position to a DRP registrant if he/she is qualified.

**What You Should Know:**

- In Phase 5, the DRP Open Period is closed and final reports are sent to the DCIPS PEO. Any DRP registrants not placed by the day after the AIF Effective Date are separated according to their specific AIF notice.



**Instructor Notes:**

- Show slide 13-19, “DRP Roles and Responsibilities”
- Participant Guide page 13-36



**DRP Roles and Responsibilities**

**Roles and Responsibilities**

Role	Responsibility
DCIPS PEO	Responsible for central oversight of the DRP for the Defense Intelligence Enterprise, and analyzing, retaining and distributing DRP data and analysis, as applicable.
AIFing Component	Issues AIF notices to employees, provides counselling to DRP Registrants, and coordinates with DCIPS PEO and DCIPS Components throughout the DRP.
DCIPS Components	Responsible for considering employees affected by AIF for available Defense Intelligence positions. For purposes of the DRP, this includes all Components, including the AIFing Component(s).
DRP Liaison	Responsible for managing the DRP program requirements and providing internal guidance on process. Carries out liaison functions for their Component and with DCIPS PEO to ensure proper and timely flow of information between the Component and the DCIPS PEO. May lead a team of DRP counselors or others responsible for supporting employee understanding of the DRP.
DRP Counselor	Role within the AIFing Component responsible for leading informing potential DRP Registrants of the program and counselling DRP Registrants of the impact on decisions to opt-out of certain Component consideration, accepting or declining offers through the program, impact on severance pay and benefits, and much more. <i>Note: This role may or may not be fulfilled by the same person as the DRP Liaison and/or the AIF Counselor.</i>

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**Your Notes:**

- Refer participants to *DRP Roles and Responsibilities* in the *What You Should Know* box on page 13-36\_13-37 of the Participant Guide and ask them to follow along as you discuss the speaking points.



### Speaking Points:

- **The DRP requires collaboration and cooperation across the Enterprise.** There are several critically important roles in the DRP program, each with their own set of responsibilities. **The DRP works best when the AIFing Component, other Defense Intelligence Components, DRP liaisons and counselors, and the hiring managers work together** to match employees pending separation with available positions for which they are qualified. **Let's talk through the key responsibilities of each role:**
- **The DCIPS PEO is responsible for central oversight** of the DRP for the Defense Intelligence Enterprise, **and analyzing, retaining and distributing DRP data and analysis.** The DCIPS PEO is within the OUSD(I), HCMO.
- The AIFing Component employs individuals pending separation by AIF. **The AIFing Component issues AIF Notices** to employees, **provides counseling** to DRP registrants, and **coordinates with DCIPS PEO** and other Components throughout the DRP.
- **All Components are responsible for considering and reviewing all available positions for matching with employees affected by an AIF,** including the AIFing Component(s). While Components are encouraged to use available positions for placement of employees who are pending separation by an AIF, if that is not possible and the positions are available to candidates external to the Components' population, then those positions are subject to the DRP. For Components with both Defense Intelligence and non-Defense Intelligence positions, DRP applies only to the Defense Intelligence positions.
- **The DRP requires the creation of two new roles at each Component:**
  - **DRP Liaisons - Points of contact within each of the Components,** including the AIFing Component, responsible for managing the DRP program requirements and providing internal guidance on process. There will be one DRP liaison per Component.
  - **DRP Counselors** – Points of contact within the AIFing Component who are responsible for counseling DRP registrants on the entire DRP process, including the impact on decisions to

opt-out of certain Component consideration, accepting or declining offers through the program, impact on severance pay and benefits, and much more.

- **In addition, responsibilities are assigned to HR operations and HR servicing organizations that will be coordinated through the DRP Liaison or other Component designee.**
- The detailed responsibilities for each role, as well as those of the HR Office and HR Servicing Organizations, and hiring managers, are outlined in the DRP Guidance, which we will talk about next.

## What You Should Know:

### *DRP Roles and Responsibilities*

- The DRP requires collaboration and cooperation across the Enterprise. There are several critically important roles in the DRP program, each with their own set of responsibilities. The DRP works best when the AIFing Component, other Defense Intelligence Components, DRP liaisons and counselors, and the hiring managers work together to match employees pending separation with available positions for which they are qualified. Let's talk through the key responsibilities of each role:
- The DCIPS PEO is responsible for central oversight of the DRP for the Defense Intelligence Enterprise, and analyzing, retaining and distributing DRP data and analysis. The DCIPS PEO is within the OUSD(I), HCMO.
- The AIFing Component employs individuals pending separation by AIF. The AIFing component issues AIF notices to employees, provides counseling to DRP Registrants, and coordinates with DCIPS PEO and other Components throughout the DRP.
- All Components are responsible for considering and reviewing all available positions for matching with employees affected by an AIF, including the AIFing Components. While Components are encouraged to use available positions for placement of employees who are pending separation by an AIF, if that is not possible and the positions are available to candidates external to the Components' population, then those positions are subject to the DRP. For Components with both Defense Intelligence and non-Defense Intelligence positions, DRP applies only to the Defense Intelligence positions.
- The DRP requires the creation of two new roles at each Component:
  - **DRP Liaisons** - Points of contact within each of the Components,

including the AIFing Component, responsible for managing the DRP program requirements and providing internal guidance on process. There will be one DRP liaison per Component.

- **DRP Counselors** – Points of contact within the AIFing Component, who are responsible for counseling DRP registrants on the entire DRP process, including the impact on decisions to opt-out of certain Component consideration, accepting or declining offers through the program, impact on severance pay and benefits, and much more.
  - In addition, responsibilities are assigned to HR operations and HR servicing organizations that will be coordinated through the DRP Liaison or other Component designee.
  - The detailed responsibilities for each role, as well as those of the HR Office and HR Servicing Organizations, and hiring managers, are outlined in the DRP Guidance, which we will talk about next.





### Instructor Notes:

- Show slide 13-20, “DRP Guidance”
- Participant Guide page 13-38



### DRP Guidance

#### Use the DRP Guidance for Detailed Guidance



- Guidance Signed 5 March 2013
- Includes 5 Phase Process and All Required Steps
- Outlines Roles and Responsibilities
- Contains DRP Registration Package

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### Your Notes:



### Speaking Points:

- The DRP Guidance is the official guidance for the DCIPS Retention Program.

### What You Should Know:

#### *DRP Guidance*

- The DRP Guidance is the official guidance for the DCIPS Retention Program.

## TOPIC 7: RETENTION REGISTER EXERCISE



### Instructor Notes:

- Show slide 13-21, “Mock AIF Example”
- Participant Guide page 13-39



### Mock AIF Example

- The scenario:
  - Due to Congressional budget cuts, all positions in a defined competitive area supporting **Mission B** are scheduled to be abolished
  - Following Volume 2004 guidelines, the Component has identified the competitive area as:
    - Local Commuting Area 1234903
    - Organizational Code GC 24
    - Professional Work Category A



- Your task:
  - Follow AIF procedures from Volume 2004 to determine which positions will be abolished, as well as which employees will be impacted and how

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### Speaking Points:

- Emphasize that the competitive area is comprised of all three factors: local commuting area 1234903, organizational code GC 24, and professional work category A. **Only positions matching all three factors will be included in the AIF.**

**What You Should Know:***Mock AIF Example:*

- Competitive areas are determined in advance of the AIF and announced by Component leadership.
- As mentioned earlier in this lesson, the minimum competitive area is the local commuting area, though Components may choose to narrow down the competitive area by adding additional factors. Only positions matching all factors will be included in the AIF.



### Instructor Notes:

- Show slide 13-22, “Technical Steps”
- Participant Guide page 13-40



### Technical Steps

#### What steps do you need to take?

1. Identify on the retention register which positions will be eliminated based on the competitive area, which has been announced by the Component.
2. Analyze the positions identified for abolishment starting with the one currently filled by the employee with the highest retention standing.
3. Review his/her resume and all positions that will remain that are encumbered by employees with lower retention standing to determine if that employee should be offered another position or released and document on the retention register. Start at the bottom of the retention register and work up to determine the best offer.
4. Determine if there is an impact on another employee. If so, review the employee's resume and all remaining positions encumbered by employees with lower retention standing to determine if the displaced employee should be offered another position or released. Again, start at the bottom of the retention register and work up.
5. Repeat this process until the number of abolished positions equals the number of originally announced abolished positions.
6. Check your work to ensure Volume 2004 policy was followed.

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### Your Notes:



### Speaking Points:

- Ask participants to follow along in the WYSK boxes on pages 13-40\_13-41 to identify the steps to execute an AIF for this exercise.
- Be sure to mention we've simplified this process for the purposes of a classroom exercise.
- As each step is identified, click the mouse to have the step appear on the screen.
- Information is shown below for your reference.

**What You Should Know:***Technical Steps:*

- It is important to understand that there is a process for deciding the order of displacement and release. This process is outlined in Volume 2004 of DCIPS policy.
- For every AIF, the same process steps are followed:
  - Identify on the retention register which positions within the competitive area will be eliminated based on what has been announced by the Component.
  - Analyze the positions identified for abolishment starting with the one currently filled by the employee with the highest retention standing.
  - Review his/her resume and all positions that will remain that are encumbered by employees with lower retention standing to determine if that employee should be offered another position or released.
  - Determine if there is an impact on another employee. If so, review the employee's resume and all remaining positions encumbered by employees with lower retention standing to determine if the displaced employee should be offered another position or released.
  - Repeat this process until the number of abolished positions equals the number of originally announced abolished positions.
  - Check your work to ensure Volume 2004 policy was followed.



### Instructor Notes:

- Show slide 13-23, “Assumptions”
- Participant Guide page 13-42



### Assumptions

- The retention register used in this exercise is a snapshot of a typical retention register and is used for example purposes only. An actual retention register has more columns and information
- The employee data in this sample retention register is fictitious. For the purposes of this exercise, it can be assumed that the retention register was produced by a Component’s HR information system
- Since the full resumes of the employees in the retention register are not available for this basic exercise, a table of resume highlights is provided to demonstrate past experience for the employees in the retention register
- For the purpose of the exercise:
  - Accounting positions have a positive education requirement
  - Professional work category positions are 2-grade interval positions

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### Your Notes:

### Speaking Points:

- Read the bullets on the page out loud and answer any questions the participants have regarding the assumptions.
- Emphasize that this is a fictitious exercise and that a real retention register will have additional employee information.
- There are a number of ways a retention register may be generated such as, by a servicing HR element for you, or your Component may be required to build one utilizing their own tools, or an AIF excel spreadsheet provided by the USD(I), HCMO.
- Also point out to participants that the HR Information System will produce the retention register; they will not have to calculate retention standing manually.



## What You Should Know:

### *Assumptions:*

- The retention register used in this exercise is a condensed snapshot of a typical retention register and is used for example purposes only. An actual retention register has more columns and information.
- The employee data in this sample retention register is fictitious. For the purposes of this exercise, it can be assumed that the retention register was produced by a Component's HR information system.
  - In the event of an AIF, the HRIS will create the retention register for HR practitioners; retention standing does not need to be calculated manually but a general understanding of how the standing is created is helpful.
  - Since the HRIS generates the retention register based on the information in the system, it is critical that data be current and accurate.
- Since the full resumes of the employees in the retention register are not available for this basic exercise, a table of resume highlights has been provided to demonstrate past experience for the employees in the retention register.
- For the purpose of this exercise:
  - Accounting has a positive education requirement.
  - Professional work category positions are 2-grade interval positions, mean that employees progress two steps at a time (i.e. GG-7 to GG-9 to GG-11).



### Instructor Notes:

- Show slide 13-24, “Resume Highlights”
- Participant Guide page 13-44



### Resume Highlights

Use this page as a reference throughout the exercise.

Employee Name	Past Experience
Franklin	<ul style="list-style-type: none"> <li>• Intelligence Analyst (8 years)</li> <li>• Intelligence Analyst for US Navy (2 years)</li> <li>• Information Technology Specialist for US Navy (8 years)</li> </ul>
Tim	<ul style="list-style-type: none"> <li>• Intelligence Analyst (15 years)</li> <li>• Management Analyst (8 years)</li> <li>• Budget Analyst (3 years)</li> </ul>
Bill	<ul style="list-style-type: none"> <li>• Intelligence Analyst (29 years)</li> <li>• High school AP World History teacher (5 years)</li> <li>• Information Technology Specialist (11 years)</li> </ul>
Sela	<ul style="list-style-type: none"> <li>• Intelligence Analyst (6 years)</li> <li>• Budget Analyst (16 years)</li> </ul>
Michelle	<ul style="list-style-type: none"> <li>• Intern at private federal consulting firm (1 year)</li> <li>• Accountant (2 years)</li> <li>• CPA at private accounting firm (6 months)</li> <li>• (Accounting degree)</li> </ul>
Kendra	<ul style="list-style-type: none"> <li>• Intelligence Analyst (1 year)</li> <li>• Researcher at public policy think tank (3 years)</li> </ul>
Allison	<ul style="list-style-type: none"> <li>• Intelligence Analyst for US Army (4 years)</li> </ul>

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### Your Notes:

### Speaking Points:



- Review the resume highlights of the employees in the retention register.
- Note that all experience is professional work level and all military experience is officer level.
- Remind participants to refer back to this slide throughout the exercise.



**What You Should Know:***Resume Highlights:*

- All experiences listed are professional work level.
- All military experience is officer level.
- Use this slide as a reference throughout the exercise.



**Instructor Notes:**

- Show slide 13-25, “Retention Register”
- Participant Guide page 13-45



**Retention Register**

Use this page to document your answers.

Note: General Rules is an AIF apply and requires that Volume 2004 be reviewed in its entirety when reviewing the Retention Register and making displacement determinations.																	
Position Number	Employee Name	Pay Plan	Occupational Series	Grade	Position Title/Work Role	Supervisor Y/N	Mission	Work Level	Work Category	Org Code	Duty Station Code	Work Schedule	Retention Factors				
													Reserve	Veterans' Preference Y/N	Sub-group for Veterans' Preference	Performance Rating (avg last 3)	AIF SCD (ref for add'l city/mil time)
1	Franklin	GG	152	13	Intelligence Analyst	N	A	3	A	GC-24	1234903	F	I	Y	A	4.2	08/14/05
2	Tim	GG	152	11	Intelligence Analyst	N	B	2	A	GC-24	1234903	F	I	N	B	4.1	11/10/87
3	Bill	GG	152	11	Intelligence Analyst	N	A	2	A	GC-24	1234903	F	I	N	B	3.6	07/03/84
4	Sela	GG	2210	9	Information Technology Specialist	N	B	1	A	GC-24	1234903	F	I	N	B	3.5	08/09/96
5	Michelle	GG	0560	11	Budget Analyst	N	A	2	A	GC-24	1234903	F	I	N	B	3.3	06/04/97
6	Kendra	GG	0510	7	Accountant	N	A	1	A	GC-24	1234903	F	I	N	B	3.2	02/11/11
7	Allison	GG	152	7	Intelligence Analyst	N	B	1	A	GC-24	1234903	F	III	Y	AD	3.2	04/17/12
8	Vacant	GG	152	9	Intelligence Analyst	N	B	1	A	GC-24	1234903	F	NA	NA	NA	NA	NA

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Slide 13-25

**Your Notes:**

**Speaking Points:**

- Indicate to attendees that they can take the full page retention register out of their binders to use as a worksheet, page 13-49.
- Discuss each column of the sample retention register and ensure that participants are comfortable with each aspect and why it is included. Definitions are included in the WYSK box.
- Walk participants through the retention register to review the retention standing order.
- Refer participants to pages 13-45\_13-47 of the Participant Guide and the **Retention Standing** information in the *What You Should Know* box of the Participant Guide.
- Information is shown below for your reference.



**What You Should Know:*****Retention Register Column Definitions (specific to this exercise):***

- Position Number- this is the position of the employee in the retention register. This does not refer to an employee's retention standing.
- Pay Plan- a two-digit alphabetical code used to identify which Federal civilian pay system an employee falls under.
- Occupational Series- Classes of positions that share distinct, common technical qualifications, competency requirements, career paths, and progression patterns.
- Grade- The numerical designation, GG-1 through GG-15, grouped by work levels, which differentiate within the work level qualifications required, difficulty, and responsibility.
- Position Title/Work Role- the name of the position occupied by an employee.
- Supervisor Y/N- indicates if the employee is in a supervisory or non-supervisory role.
- Work level- general descriptions that define work in terms of increasing complexity, span of authority and responsibility, level of supervision (received or exercised), scope and impact of decisions, and work relationships associated with a particular work category.
- Work category- broad sets of related occupational groups that are characterized by common types of work (i.e., Technician/Administrative Support; Professional; and Supervision and Management).
- Org code- code which refers to the department or function in an organization that the position falls under.
- Duty Station Code- code which refers to the local commuting area or duty station to which an employee is assigned.
- Work schedule- designates if the employee is full-time or part-time.
- Tenure- designates the group that an employee resides for retention standing depending on whether the employee has served and completed, currently completing, or not served a trial period.
- Veterans' Preference AIF Y/N- indicates if any employee qualifies for veterans' preference or not.
- Sub-group- refers to which veterans' preference group an employee falls under: either AD (veterans' who are eligible for veteran's preference and have a

## What You Should Know:

compensable service-related disability of 30% or more), A (veterans and others who qualify under policy who are eligible to receive veteran's preference), or B (non-veterans and others who are not eligible for veteran's preference in subgroups AD and A).

- Performance Rating (average last 3) - the average, rounded to one decimal place, of the employee's last three end of year ratings of record (if available).
- AIF SCD (adj for add'l civ/mil time) - Service Computation Date, determines the length of creditable service. For AIF purposes, this number is adjusted to include any additional qualifying civilian and military service time. (Displayed as "SCD" in Component HRIS and therefore appears in the retention register this way, but is what we refer to in DCIPS policy as the length of creditable service factor).

### *Retention Standing:*

- The retention standing is based on (in order) tenure, veterans' preference, performance rating, and length of creditable service (shown as SCD).
- Vacancies have no retention standing – as the standing is a compilation of employee attributes and not position attributes.
- All tenure group I's are higher on the retention register than tenure group III's. Therefore, Allison has the lowest retention standing as the only tenure group III employee. This is despite her veterans' preference status because tenure is considered before veterans' preference.
- Then, we look at veterans' preference; Franklin is the only one with veterans' preference remaining, so he has the highest retention standing.
- Next, look at the employees without veterans' preference- Tim, Bill, Sela, Michelle, and Kendra. Of those employees, Tim has the highest rating, so he has the next highest retention standing.
- Then, you look at length of creditable service. Bill has been working for the Federal government accruing creditable service the longest, so he's higher than Michelle, Kendra and Sela. Next comes Sela, then Michelle, and then Kendra in order of creditable service.
- So top to bottom- you get Franklin, Tim, Bill, Sela, Michelle, Kendra, Allison, vacant position.
- Please note that Kendra is in a Developmental Program position. Her position can still be considered as an option for a displaced employee (as long as it's within 3

**What You Should Know:**

grades) and any employee who takes her position will be put in that program.

Use this page to document your answers.

Note: General Rules in an AIF apply and requires that Volume 2004 be reviewed in its entirety when reviewing the Retention Register and making displacement determinations.																	
											Retention Factors						
Position Number	Employee Name	Pay Plan	Occupational Series	Grade	Position Title/Work Role	Supervisor Y/N	Mission	Work Level	Work Category	Org Code	Duty Station Code	Work Schedule	Tenure	Veterans' Preference Y/N	Sub-group for Veterans' Preference	Performance Rating (avg last 3)	AIF SCD (adj for add'l civ/mil time)
1	Franklin	GG	132	13	Intelligence Analyst	N	A	3	A	GC-24	1234903	F	1	Y	A	4.2	03/14/05
2	Tim	GG	132	11	Intelligence Analyst	N	B	2	A	GC-24	1234903	F	1	N	B	4.1	11/10/87
3	Bill	GG	132	11	Intelligence Analyst	N	A	2	A	GC-24	1234903	F	1	N	B	3.6	07/03/84
4	Sela	GG	2210	9	Information Technology Specialist	N	B	1	A	GC-24	1234903	F	1	N	B	3.5	08/09/96
5	Michelle	GG	0560	11	Budget Analyst	N	A	2	A	GC-24	1234903	F	1	N	B	3.3	06/04/97
6	Kendra	GG	0510	7	Accountant	N	A	1	A	GC-24	1234903	F	1	N	B	3.2	02/11/11
7	Allison	GG	132	7	Intelligence Analyst	N	B	1	A	GC-24	1234903	F	III	Y	AD	3.2	04/17/12
8	Vacant	GG	132	9	Intelligence Analyst	N	B	1	A	GC-24	1234903	F	NA	NA	NA	NA	NA

**Instructor Notes:**

- Show slide 13-26, “Step 1a”
- Participant Guide page 13-51

**Step 1a**

- Applying the rules of AIF within the competitive area, identify on the retention register which positions will be eliminated within the competitive area

*HR Elements for HR Practitioners*  
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Slide 13-26

**Your Notes:****Speaking Points:**

- Read the slide out loud to the class. Ask them to identify, based on competitive area, which positions will be eliminated.
- Ask participants to use their retention register on Page 13-49 to complete the step on the slide.

**Instructor Notes:**



- Show slide 13-27, “Step 1a”
- Participant Guide page 13-52



**Step 1a**

Position Number	Employee Name	Pay Plan	Occupational Series	Grade	Position Title/Work Role	Supervisor V/N	Mission	Work Level	Work Category	Org Code	Duty Station Code	Work Schedule	Retention Factors					
													Tenure	Veterans' Preference Y/N	Sub-group for Veterans' Preference	Performance Rating (NVE for 3)	AIF SCD (adj for adj1 city/mil time)	
1	Franklin	GG	132	13	Intelligence Analyst	N	A	3	A	GC-24	1234903	F	I	Y	A	4.2	03/14/10	
2	Tim	GG	132	11	Intelligence Analyst	N	B	2	A	GC-24	1234903	F	I	N	B	4.1	11/10/87	
3	Bill	GG	132	11	Intelligence Analyst	N	A	2	A	GC-24	1234903	F	I	N	B	3.5	07/03/84	
4	Sela	GG	2210	9	Information Technology Specialist	N	B	1	A	GC-24	1234903	F	I	N	B	3.5	08/09/96	
5	Michelle	GG	0560	11	Budget Analyst	N	A	2	A	GC-24	1234903	F	I	N	B	3.5	06/04/97	
6	Kendra	GG	0510	7	Accountant	N	A	1	A	GC-24	1234903	F	I	N	B	3.2	02/11/02	
7	Allison	GG	132	7	Intelligence Analyst	N	B	1	A	GC-24	1234903	F	IB	N	AD	3.2	04/17/12	
8	Vacant	GG	132	9	Intelligence Analyst	N	B	1	A	GC-24	1234903	F	NA	NA	NA	NA	NA	

Answer: Positions 2,4,7,8

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Slide 13-27

**Your Notes:**

**Speaking Points:**



- Ask participants to explain their thought process for this step and what they feel the answer is. Then click through the animation as a class for the correct answer.
- Positions (click) 2, (click) 4, (click) 7, and (click) 8 will be eliminated—The Mission B positions in the identified Competitive Area.



**What You Should Know:***Step 1a Explained:*

- The four “Mission B” positions are being eliminated; therefore any position labeled as “Mission B” on the retention register will be affected.
- This affects positions 2, 4, 7, and 8.

**Instructor Notes:**

- Show slide 13-28, “Step 1b”
- Participant Guide page 13-53

**Step 1b**

- Once the positions to be abolished have been identified on the retention register, are there any positions that can be abolished immediately? If yes, why?

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Slide 13-28

**Your Notes:****Speaking Points:**

- Read the slide out loud to the class.
- Ask the class to identify if any positions can be abolished immediately without considering placing the employee occupying the position in another position.

**Instructor Notes:**



- Show slide 13-29, “Step 1b”
- Participant Guide page 13-54



**Step 1b**

Position Number	Employee Name	Pay Plan	Occupational Series	Grade	Position Title/Work Role	Supervisor Y/N	Mission	Work Level	Work Category	Org Code	Duty Station Code	Work Schedule	Retention Factors				
													Tenure	Veterans' Preference Y/N	Sub-group for Veterans' Preference	Performance Rating (avg last 3)	AIF 5 CO (adj for add) ch/mil (line)
1	Franklin	GG	132	13	Intelligence Analyst	N	A	5	A	GC-24	1234905	F	I	Y	A	4.2	05/14/05
2	Tim	GG	132	11	Intelligence Analyst	N	B	2	A	GC-24	1234903	F	I	N	B	4.1	11/10/87
3	Bill	GG	132	11	Intelligence Analyst	N	A	2	A	GC-24	1234905	F	I	N	B	3.6	07/03/84
4	Sela	GG	2210	9	Information Technology Specialist	N	B	1	A	GC-24	1234903	F	I	N	B	3.5	06/09/96
5	Michelle	GG	0560	11	Budget Analyst	N	A	2	A	GC-24	1234905	F	I	N	B	3.5	06/04/97
6	Kendra	GG	0510	7	Accountant	N	A	1	A	GC-24	1234905	F	I	N	B	3.2	02/11/11
7	Allison	GG	132	7	Intelligence Analyst	N	B	1	A	GC-24	1234903	F	II	N	AD	3.2	04/17/12
8	Vacant	GG	132	9	Intelligence Analyst	N	B	1	A	GC-24	1234905	F	NA	NA	NA	NA	NA

**Answer:** Yes, Position 8 can be abolished because it is identified in the competitive area as a position that must be abolished (Mission B) and since it is vacant, there is no need to consider it further.

We can also quickly decide to separate Allison, even though she is AD, because she is tenure group III. As such, we can separate her before even beginning AIF proceedings following guidance in Volume 2005, or we can include her in the AIF with the lowest retention standing.

*HR Elements for HR Practitioners  
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Slide 13-29

**Your Notes:**

**Speaking Points:**



- Once the class has discussed and determined if there are any positions to abolish immediately, click through the animations on the slide to depict that the vacant position and Allison can be separated immediately.

**What You Should Know:***Step 1b Explained:*

- The vacant position will be eliminated immediately since it is Mission B and there is no individual impacted.
- Allison will be separated next since she is Tenure Group III (lowest retention standing) and Mission B, even though she is a subgroup AD.
  - Remember, Tenure Group IIIs do not even need to be included in the AIF; they can be separated prior to the AIF at the Component's discretion. If included, they have the lowest retention standing and are likely the first to be separated.

**Instructor Notes:**

- Show slide 13-30, “Step 2”
- Participant Guide page 13-55

**Step 2**

- Analyze the remaining positions identified for abolishment, starting with the one currently filled by the employee with the highest retention standing

*HR Elements for HR Practitioners*  
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Slide 13-30

**Your Notes:****Speaking Points:**

- Read the slide out loud to the class.
- Ask the class to identify which of the positions to be eliminated is occupied by the employee with the highest retention standing. That employee will be the first to be considered for placement in another position.

**Instructor Notes:**



- Show slide 13-31, “Step 2”
- Participant Guide page 13-56



**Step 2**

Position Number	Employee Name	Pay Plan	Occupational Series	Grade	Position Title/Work Role	Supervisor Y/N	Mission	Work Level	Work Category	Org Code	Duty Station Code	Work Schedule	Retention Factors				
													Tenure	Veteran's Preference Y/N	Sub-group for Veterans' Preference	Performance Rating (avg last 3)	AIF SCD (adj for self) city/mil (none)
1	Franklin	GG	132	13	Intelligence Analyst	N	A	3	A	GC-24	1234905	F	I	Y	A	4.2	05/14/05
2	Tim	GG	132	11	Intelligence Analyst	N	B	2	A	OC-24	1234903	F	I	N	B	4.1	11/10/87
3	Bill	GG	132	11	Intelligence Analyst	N	A	2	A	GC-24	1234903	F	I	N	B	3.6	07/03/84
4	Sela	OG	2210	9	Information Technology Specialist	N	B	1	A	OC-24	1234903	F	I	N	B	3.5	08/09/96
5	Michelle	GG	0560	11	Budget Analyst	N	A	2	A	GC-24	1234903	F	I	N	B	3.3	06/04/97
6	Kendra	GG	0510	7	Accountant	N	A	1	A	GC-24	1234903	F	I	N	B	3.2	02/11/11
7	Alison	OG	132	7	Intelligence Analyst	N	B	1	A	OC-24	1234905	F	II	N	AD	3.2	04/17/12
8	Vacant	GG	132	9	Intelligence Analyst	N	B	1	A	GC-24	1234903	F	NA	NA	NA	NA	NA

Answer: Tim first

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Slide 13-31

**Your Notes:**

**Speaking Points:**



- Refer to the WYSK box below for detailed explanation of this step.
- Ask the class who to review first and why.
- The class should identify Tim as the first employee to consider based on his retention standing. Determine if Tim qualifies for that position and if so, ask if it's the best fit.
- Click through the animations on slide 13-31 to demonstrate.

**What You Should Know:***Step 2 Explained:*

- Of those employees who are remaining in positions to be eliminated, who has the highest retention standing and will be analyzed first? The employees in those positions are Tim and Sela. Let's look at their retention factors:
  - Tenure- same.
  - Veterans Preference- same.
  - Performance rating- Tim has a higher performance rating (4); therefore, he has the higher retention standing so we will review his position first.

**Instructor Notes:**

- Show slide 13-32, “Step 3”
- Participant Guide page 13-57

**Step 3**

- Review Tim’s resume and all positions that will remain that are encumbered by employees with lower retention standing to determine if he should be offered another position or released

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Slide 13-32

**Your Notes:****Speaking Points:**

- Read the slide out loud to the class.
- Review Tim’s resume and all positions that will remain that are encumbered by employees with lower retention standing to determine if he should be offered another position or released.
- Have the class continue through this process until a decision is reached.



**Instructor Notes:**



- Show slide 13-33, “Step 3”
- Participant Guide page 13-58



**Step 3**

Position Number	Employee Name	Pay Plan	Occupational Series	Grade	Position Title/Work Role	Supervisor Y/N	Mission	Work Level	Work Category	Org Code	Duty Station Code	Work Schedule	Retention Factors				
													Tenure	Veterans' Preference Y/N	Sub Swap for Veterans' Preference	Performance Rating (avg last 3)	AIF SCD (adj for add'l ch/mil time)
1	Franklin	GG	152	15	Intelligence Analyst	N	A	3	A	GC-24	1254905	F	I	Y	A	4.2	03/14/05
2	Bill	GG	132	11	Intelligence Analyst	N	B	2	A	GC-24	1254905	F	I	N	B	4.1	11/10/87
3	Tim	GG	152	11	Intelligence Analyst	N	A	2	A	GC-24	1254905	F	I	N	B	3.6	07/05/84
4	Sela	GG	2210	9	Information Technology Specialist	N	B	1	A	GC-24	1234903	F	I	N	B	3.5	08/09/96
5	Michelle	GG	0560	11	Budget Analyst	N	A	2	A	GC-24	1254905	F	I	N	B	3.3	06/04/97
6	Kendra	GG	0510	7	Accountant	N	A	1	A	GC-24	1254905	F	I	N	B	3.2	02/11/11
7	Allen	GG	132	7	Intelligence Analyst	N	B	1	A	GC-24	1254905	F	II	N	AD	3.2	04/17/12
8	Vigent	GG	132	9	Intelligence Analyst	N	B	1	A	GC-24	1254905	F	NA	NA	NA	NA	NA

**Answer:** The best match is for Tim to move into the position Bill currently occupies. It is at his current grade and in his current line of work.

**Your Notes:**

**Speaking Points:**



- Refer to the WYSK box for detailed explanation of this step.
- Information is shown below for your reference.
- Click through the animations as the class discusses which positions to consider for Tim.

## What You Should Know:

### *Step 3 Explained:*

- Review the position that is the lowest on the retention register to determine the following:
  - Does Tim qualify for that position?
  - Is it the best offer or match for Tim?
  - Move up the list to identify the best offer, if possible.
- The first position on the retention register for which Tim can be considered is the Accountant GG-7, occupied by Kendra.
  - Tim is not qualified because he does not have an accounting degree, a requirement for the position.
- The next position to consider is the Budget Analyst GG-11 occupied by Michelle.
  - Based on a review of his resume, Tim has some Budget Analyst experience, but is this the best position to offer Tim?
  - If there is more than one position lower in the retention register than the position being analyzed and for which a displaced employee is qualified, the best offer must be made.
  - To determine the best offer, consider the following factors in this order: higher grade, closer occupational series, most similar to current position.
  - If a better offer for Tim is identified, document on the retention register that he is qualified for the Budget Analyst position, but that you offered a better position.
- Move up to the next position, which is Sela's position, the Information Technology Specialist GG-9.
  - Sela's position is being abolished and therefore cannot be considered.
- Move up to Bill's position, which is the highest position we can review that is occupied by someone of lower retention standing than Tim.
  - Based on a review of his resume, Tim is qualified for Bill's position, which is at the same or lower grade, thereby meeting the Volume 2004 requirement that the position be within 3 grades lower of the position he currently occupies.
- Tim is placed in Bill's position and now the displacement process is used to place or release Bill.

**Instructor Notes:**

- Show slide 13-34, “Step 4”
- Participant Guide page 13-59

**Step 4**

- Since Bill is impacted and he’s the next highest on the retention register, review Bill’s resume next and all remaining positions encumbered by employees with lower retention standing to determine if he should be offered another position or released

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Slide 13- 34

**Your Notes:****Speaking Points:**

- Read the slide out loud to the class.
- Review Bill’s resume and all positions that will remain that are encumbered by employees with lower retention standing to determine if he should be offered another position or released.
- Ask the class who to review first and why. Determine if Bill qualifies for that position and if so, ask if it’s the best fit.
- Have the class continue through this process until a decision is reached.

**Instructor Notes:**



- Show slide 13-35, “Step 4”
- Participant Guide page 13-60



**Step 4**

Position Number	Employee Name	Pay Plan	Occupational Series	Grade	Position Title/Work Role	Supervisor Y/N	Mission	Work Level	Work Category	Org Code	Duty Station Code	Work Schedule	Retention Factors				
													Tenure	Veterans' Preference Y/N	Sub Swap for Veterans' Preference	Performance Rating (avg last 3)	AIF SCD (adj for add'l chg/mil time)
1	Franklin	GG	152	15	Intelligence Analyst	N	A	3	A	GC-24	1234905	F	I	Y	A	4.2	03/14/05
2	Bill	GG	132	11	Intelligence Analyst	N	B	2	A	GC-24	1234905	F	I	N	B	4.1	11/10/87
3	Tim	GG	152	11	Intelligence Analyst	N	A	2	A	GC-24	1234905	F	I	N	B	3.6	07/05/84
4	Sela	GG	2210	9	Information Technology Specialist	N	B	1	A	GC-24	1234903	F	I	N	B	3.5	08/09/96
5	Michelle	GG	0560	11	Budget Analyst	N	A	2	A	GC-24	1234905	F	I	N	B	3.3	06/04/97
6	Kendra	GG	0510	7	Accountant	N	A	1	A	GC-24	1234905	F	I	N	B	3.2	02/11/11
7	Anton	GG	132	7	Intelligence Analyst	N	B	1	A	GC-24	1234903	F	II	N	AD	3.2	04/17/12
8	Vent	GG	132	9	Intelligence Analyst	N	B	1	A	GC-24	1234903	F	NA	NA	NA	NA	NA

Answer: Bill will be separated by AIF

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Slide 13-35

**Your Notes:**

**Speaking Points:**



- Refer to the WYSK box for detailed explanation of this step.
- Information is shown below for your reference.
- Click through the animations as the class discusses which positions to consider for Bill.

**What You Should Know:***Step 4 Explained:*

- Review the position that is the lowest on the retention register to determine the following:
  - Does Bill qualify for that position?
  - Is it the best offer or match for Bill?
  - Move up the list to identify the best offer, if possible.
- The first position is the Accountant GG-7 that is occupied by Kendra.
  - Accountant positions have a positive education requirement, for which Bill does not qualify.
- The next position is the Budget Analyst GG-11 that is occupied by Michelle.
  - A review of Bill's resume reveals he has no experience that would qualify him for this position.
- The next position is Sela's position, the Information Technology Specialist GG-9.
  - Since the Information Technology Specialist position is being abolished, that is not a possible placement for Bill so the review continues up the register.
- Since there are no more positions with employees with lower retention standing than Bill that he is qualified for, Bill will be separated upon execution of the AIF.
- This separation will match the abolishment of one of the positions (position #2) with an employee (Bill).

**Instructor Notes:**

- Show slide 13-36, “Step 5”
- Participant Guide page 13-61

**Step 5**

- Repeat this process until the number of abolished positions equals the number of originally announced abolished positions

*HR Elements for HR Practitioners*  
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Slide 13-36

**Your Notes:****Speaking Points:**

- Read the slide out loud to the class.
- Ask how many positions have been abolished? How many need to be? Do we have to keep going?
- Note that 3 positions have been eliminated and 3 “employees” have been released (one of them being the vacancy). This leaves one position and one employee left.
- Ask the class to determine what position will be reviewed next for abolishment and whether the employee occupying that position will be considered for another position or released.

**Instructor Notes:**



- Show slide 13-37, “Step 5”
- Participant Guide page 13-62



**Step 5**

Position Number	Employee Name	Pay Plan	Occupational Series	Grade	Position Title/Work Role	Supervisor Y/N	Mission	Work Level	Work Category	Org Code	Duty Station Code	Work Schedule	Retention Factors				
													Tenure	Veterans' Preference Y/N	Sub-group for Veterans' Preference	Performance Rating (avg last 3)	AIF SCD (adj for add'l cty/mil time)
1	Franklin	GG	132	13	Intelligence Analyst	N	A	9	A	GC-24	1234908	F	I	Y	A	4.2	03/14/05
2	Sela	GG	132	11	Intelligence Analyst	N	B	2	A	GC-24	1234905	F	I	N	B	4.1	11/10/87
3	X Tina	GG	132	11	Intelligence Analyst	N	A	2	A	GC-24	1234908	F	I	N	B	3.6	07/08/84
4	X Sela	GG	2210	9	Information Technology Specialist	N	B	1	A	GC-24	1234905	F	I	N	B	3.5	08/09/96
5	Michelle	GG	0560	11	Budget Analyst	N	A	2	A	GC-24	1234908	F	I	N	B	3.3	06/04/97
6	Kendra	GG	0510	7	Accountant	N	A	1	A	GC-24	1234908	F	I	N	B	3.2	02/11/11
7	X Alison	GG	132	7	Intelligence Analyst	N	B	1	A	GC-24	1234905	F	II	N	AD	3.2	04/17/12
8	X Vincent	GG	132	9	Intelligence Analyst	N	B	1	A	GC-24	1234905	F	NA	NA	NA	NA	NA

Answer: Sela will be separated by AIF

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Slide 13-37

**Your Notes:**

**Speaking Points:**



- Refer to the WYSK box for detailed explanation of this step.
- Information is shown below for your reference.
- Click through the animations as the class discusses which positions to consider for Sela.

**What You Should Know:***Step 5 Explained:*

- There is one remaining position to be abolished and it is occupied by Sela.
- Once again, review the position that is the lowest on the retention register to determine the following:
  - Does Sela qualify for that position?
  - Is it the best offer or match for Sela?
  - Move up the list to identify the best offer, if possible.
- The first position would be Kendra's accounting role.
  - Sela also does not have an accounting degree, so she cannot be considered for Kendra's role due to the positive education requirement.
- The only other position where the employee has lower retention standing than Sela is the Budget Analyst 11 occupied by Michelle.
  - Based on a review of the position and Sela's resume, she has no experience to qualify her for a Budget Analyst position.
  - Sela cannot gain a promotion through an AIF, so she cannot be offered that position.
- Sela will be separated when executing the AIF.
- This separation will account for the fourth and final position to be abolished as a result of this AIF.



**Instructor Notes:**

- Show slide 13-38, “Step 6”
- Participant Guide page 13-63

**Step 6**

- Check your work to ensure Volume 2004 policy was followed

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Slide 13- 38

**Your Notes:****Speaking Points:**

- Read the slide out loud to the class.
- Ask why it is important? Because employees can appeal if they feel AIF procedures were wrongfully applied.



**Instructor Notes:**

- Show slide 13-39, “Step 6”
- Participant Guide page 13-64



**Step 6**

Position Number	Employee Name	Pay Plan	Occupational Series	Grade	Position Title/Work Role	Supervisor Y/N	Mission	Work Level	Work Category	Org Code	Duty Station Code	Work Schedule	Retention Factors				
													Tenure	Veterans' Preference Y/N	Sub-group for Veterans' Preference	Performance Rating (avg last 5)	AIF SCD (adj for add'l chg/mil time)
1	Franklin	GG	132	13	Intelligence Analyst	N	A	3	A	GC-24	1234905	F	I	Y	A	4.2	05/14/05
2	<del>Tim</del>	GG	132	11	Intelligence Analyst	N	B	2	A	GC-24	1234905	F	I	N	B	4.1	11/10/87
3	<del>Tim</del>	GG	132	11	Intelligence Analyst	N	A	2	A	GC-24	1234905	F	I	N	B	3.6	07/03/84
4	<del>Sela</del>	GG	2210	9	Information Technology Specialist	N	B	1	A	GC-24	1234903	F	I	N	B	3.5	08/09/96
5	Michelle	GG	0560	11	Budget Analyst	N	A	2	A	GC-24	1234908	F	I	N	B	3.3	06/04/97
6	Kendra	GG	0510	7	Accountant	N	A	1	A	GC-24	1234905	F	I	N	B	3.2	02/11/11
7	<del>Allison</del>	GG	132	7	Intelligence Analyst	N	B	1	A	GC-24	1234903	F	II	N	AD	3.2	04/17/12
8	<del>Vacant</del>	GG	132	9	Intelligence Analyst	N	B	1	A	GC-24	1234903	F	NA	NA	NA	NA	NA

**Answer:** Review the retention register to ensure Volume 2004 policy and procedures were followed; ensure the final actions match the abolishment of the identified positions (Mission B- positions 2,4,7, and 8) with the same number of employees (4- Bill, Sela, Allison, and 1 vacancy)

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**Your Notes:**

**Speaking Points:**



- Remind the participants to always double check their process and decisions against the process and procedures in DCIPS Volume 2004.
- Click through the animations as the class confirms that four positions were abolished and four “employees” were separated (including the vacancy).

**What You Should Know:***Step 6 Explained:*

- The last step in the exercise is to review the retention register again and check your work to ensure that Volume 2004 processes were followed.
- Four Mission B positions should be eliminated, with three employees and one vacancy eliminated.



### Instructor Notes:

- Show slide 13-40, “Retention Register Exercise Discussion”
- Participant Guide page 13-65



### Retention Register Exercise Discussion

- What happens if an employee wants to appeal the AIF decision?
- How is the retention register created and who owns/updates it?
- How do Components determine what positions to offer individuals based on their retention standing?
- How is pay affected when an employee is displaced to a different position due to AIF?
- How are employees in special situations (Joint Duty Assignment, Long Term Training, Leave Without Pay (LWOP), Military LWOP, etc.) handled?
- What kind of outplacement assistance exists for those who are separated through an AIF?

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### Speaking Points:

- First, **wrap up the scenario**: After other workforce reshaping efforts, our component was left with the decision to AIF Mission B (4 positions identified to be abolished and 3 people/1 vacancy released). **Also review the steps you took** to try to place affected individuals with higher retention standing. (Review the position that is the lowest on the retention register to determine the following: Qualify for that position? Is it the best offer or match? Move up the list to identify the best offer, if possible.)
- Refer participants to pages 13-65\_13-66 of the Participant Guide and the *Retention Register Exercise Discussion* information in the *What You Should Know* box of the Participant Guide.
- Information is shown below for your reference.





**Speaking Points:** Questions are on Participant Guide page 65.

- What happens if an employee wants to appeal the AIF decision? (Answer: Should an employee feel that AIF procedures were wrongfully applied, there is a formal process that the employee can follow. Non-preference eligible employees may appeal to the AIF Appeals Committee (AIF AC). Preference-eligible employees with one year of continuous service may appeal to the Merit Systems Protection Board (MSPB) or to the AIF AC, but not to both. Further details on the appeals process can be found in DCIPS Volume 2004.)
- How is the retention register created and who owns/updates it? (Answer: The HR component of the Defense Intelligence agency will create and own the retention register. A retention register has all of the pertinent employee information for those employees in a certain competitive area. There may be multiple competitive areas in an organization and therefore multiple retention registers. When a competitive area is defined, a retention register may be created by an HR servicing element, the component's own efforts, or with help from the USD(I), HCMO's excel spreadsheet solution.)
- How do Components determine what positions to offer individuals with high retention standing? (Answer: The position to be abolished with the employee with highest retention standing will be considered first. As we just saw in the exercise, this employee will be considered for the position as much as three grades/one pay band lower that is occupied by an employee with lower retention standing. The positions must be in the same competitive area/retention register as the employee being considered. If the employee is qualified for the position it will be offered. If not, the position with the next highest retention standing will be considered, this process continues until a match is found or until there are no positions available within three grades of the employee being considered and it is then determined the employee will be released.)
- What happens to an employee's pay if he/she is placed in a lower banded or graded position? (Answer: If an employee's pay rate exceeds the maximum rate for the pay band or grade of the position offered and accepted, the employee will be placed in pay retention in accordance with Volume 2006.)
- How are employees in special situations (Joint Duty Assignment, Long Term Training, Leave Without Pay (LWOP), Military LWOP,

etc.) handled? (Answer: Employees in special situations are handled the same as other permanent employees. Veterans preference is applied during an AIF.)

- What kind of outplacement assistance exists for those who are separated? (Answer: Outplacement services for employees separated by AIF may include DoD Priority Placement Program, administrative referral system including DRP, and severance pay. Other services may also be available. Refer to the Participant Guide.)

## What You Should Know:

### *Retention Register Exercise Discussion*

#### *Appealing an AIF Decision:*

- Detailed processes can be found in DCIPS Volume 2004.
- An employee can appeal the AIF decision if they feel that AIF procedures were wrongfully applied and there is a formal process that the employee must follow.
- Non-preference eligible employees may appeal to the AIF Appeals Committee (AIF AC).
- Preference-eligible employees with one year of continuous service may appeal to the Merit Systems Protection Board (MSPB) or to the AIF AC, but not to both.

#### *The Retention Register Creation Process:*

- The HR organization within the Component will create and own the retention register.
- A retention register has all of the pertinent employee information for those employees in a one competitive area.
- There may be multiple competitive areas affected by the decision to execute an AIF, When this occurs, multiple retention registers will be created.
- When a competitive area is defined, a retention register is created from the HR Information System, so it is critical that all data is accurate.

#### *The Displacement Position Review Process:*

- The position to be abolished with the employee with highest retention standing will be considered first. As we just saw in the exercise, this employee will be considered for the position of the employee with the lowest retention standing

**What You Should Know:**

first.

- The positions must be in the same competitive area/retention register as the employee being considered.
- If the employee is qualified for the position it will be offered. If not, the position with the next highest retention standing will be considered, this process continues until a match is found or until there are no positions available within three grades as the employee being considered and it is then determined the employee will be released.

***AIF Effects on Pay:***

- If an employee's pay rate exceeds the maximum rate for the pay band or grade of the position offered and accepted, the employee will be placed on pay retention in accordance with Volume 2006.

***Special Situation Consideration:***

- Employees in special situations (Joint Duty Assignment, Long Term Training, Leave Without Pay (LWOP), Military LWOP, etc.) are handled the same as other permanent employees.
- Veterans' preference is applied during an AIF.

***Outplacement Assistance for Released Employees:***

- Outplacement services for employees separated due to executing an AIF may include the Priority Placement Program, administrative referral system including DRP, and severance pay. Other services may also be available.
- Refer to the Participant Guide.

## LESSON 14 REVIEW

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### Instructor Notes:

- Show slide 14-41, “Lesson 14 Review.”
- Participant Guide page 70



### Lesson 13 Review

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#### Lesson 13 Review

- Topic 1 –Appropriate Use for AIF Procedures
- Topic 2 – Competitive Areas for AIF Competition Purposes
- Topic 3 – AIF Retention Factors
- Topic 4 – Furloughs and Transfer of Function
- Topic 5 – AIF Appeals process
- Topic 6 – Outplacement Assistance Available to Employees
- Topic 7 – Retention Register Exercise



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### Your Notes:

### Speaking Points:



- Review the lesson’s topics.
- Ask the participants if they have any questions about what was covered in this lesson.

### Lesson Transition:

In Lesson 14 we will learn about Professional Development.

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