

National Archives and Records Administration

Personnel 300, Chapter 330

November 25, 1997

Personnel 300, Chapter 330, Career Transition Assistance Plan

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PART 1. GENERAL

1. Authorities.

- a. Presidential Memorandum, Subject: Career Transition Assistance for Federal Employees, dated September 12, 1995.
- b. Title 5, Code of Federal Regulations (CFR), Part 330, Subparts F and G.

2. **Purpose.** This plan establishes policies and procedures for operation of the National Archives and Records Administration's (NARA) Career Transition Assistance Plan (CTAP).

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3. **Policy.** NARA's policy is to help surplus and displaced employees find other employment within NARA, in other Federal agencies, or in the private sector. To accomplish this, NARA:
 - a. Provides career transition services to all surplus and displaced employees;
 - b. Provides special selection priority for eligible employees; and
 - c. Maintains a reemployment priority list (RPL) in accordance with 5 CFR Part 330, Subpart B.

4. **Responsibilities.**
 - a. **Director, Human Resources Services Division (NHH). NHH:**
 - i. Develops and maintains NARA's CTAP;
 - ii. Establishes and maintains NARA's RPL;
 - iii. Prepares certificates of expected separation, removal letters, and reduction-in-force (RIF) notices;
 - iv. Provides training, information, and referrals to assist employees in making use of available career transition services;
 - v. Arranges for career transition services at each NARA facility at which there is a need for such services; and
 - vi. Arranges Employee Assistance Program (EAP) counseling for eligible employees.
 - b. **Surplus and displaced employees.** Eligible employees are responsible for making use of agency career transition services and facilities and submitting the supporting documentation required to receive special selection priority.
 - c. **Employee Assistance Program (EAP).** The EAP provides counseling and assistance to employees and their families to assist them in coping with the stress and other difficulties associated with displacement.

5. **Definitions.**
 - a. **"Displaced employee"** means a current employee in an agency who is serving in the competitive service, in tenure group I or II (a career or career-conditional employee) or an Executive Branch excepted service employee, serving on an appointment without time limit, who has been given noncompetitive appointment eligibility and selection priority in the competitive service by statute, who has received a specific RIF separation notice under 5 CFR Part 351, subpart H, or a notice of proposed removal for declining a directed reassignment or transfer of function outside of the local commuting area.
 - b. **"Eligible employee"** means a surplus or displaced employee who meets the requirements in subpar. 22(a).
 - c. **"Local commuting area"** means the geographic area that usually constitutes one area for employment purposes as determined by NARA. It includes any population center and the surrounding localities in which

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people live and can reasonably be expected to travel back and forth daily to their usual employment.

- d. **"Special selection priority"** means the priority that eligible employees have for selection over other candidates for vacancies in the local commuting area for which they apply and are found to be "well-qualified."
 - e. **"Surplus employee"** means a current employee who (1) is in the competitive service in tenure group I or II (a career or career-conditional employee) or (2) is in the Executive Branch in the excepted service, serving on an appointment without time limit, who has been given noncompetitive appointment eligibility and selection priority in the competitive service by statute, and has received a certificate of expected separation indicating that the incumbent's position is surplus (e.g., a notice of position abolishment or a notice that the employee is eligible for discontinued service retirement).
 - f. **"Vacancy"** means a competitive service position lasting 121 days or more that NARA is filling, regardless of whether a specific vacancy announcement is issued.
 - g. **"Well-qualified employee"** means an eligible employee (i.e., a surplus or displaced employee who meets the criteria in subpar. 22a) who possesses the knowledge, skills, and abilities which clearly exceed the minimum qualification requirements for the position (see par. 23).
6. **Reporting.** NHH prepares reports to OPM as required by 5 CFR 330.610.
7. **thru 10. Reserved.**

PART 2. CAREER TRANSITION ASSISTANCE

11. **Eligibility.** All surplus and displaced NARA employees, including those in the excepted service and the Senior Executive Service (SES), are eligible to participate in NARA's career transition services.
12. **Informing employees.** NHH provides briefings, training, and written information to employees, managers, supervisors, and union representatives on the availability of career transition services when NARA employees have been determined to be surplus or displaced.
13. **Access to services.**
- a. **Duty status.** Supervisors excuse surplus and displaced employees from their normal duties subject to workload demands to use career transition services.
 - b. **Location of service.** NHH notifies surplus and displaced employees of the availability of career transition services in the local area. A local point of contact will be established. To the extent possible, services, including EAP counseling, will be provided on site. Assistance and information will also be made available in a computer-based environment whenever possible.

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14. Career transition services.

- a. NHH provides information about the availability of Federal, State, and local assistance available to support career transition for employees with disabilities.
- b. NARA retrains surplus and displaced employees, where appropriate, for internal placement. NHH initiates formal training, requesting assistance from Staff Development Services (NHS) as necessary. On-the-job training is coordinated between the losing and gaining supervisors. Retraining in new career opportunities in other Federal government agencies may be made available. At the earliest time possible, NHH issues certificates of expected separation to employees expected to be affected by downsizing or RIF so that they may immediately qualify for programs under the Job Training Partnership Act administered by the Department of Labor.
- c. The employing office makes computer terminals available to eligible employees to assist them in conducting job searches of government and private sector computer-based job information services.
- d. The employing office may purchase publications, software, and video tapes to assist employees in preparing resumes and conducting job searches.
- e. As appropriate, NHH provides information about surplus and displaced employees to other NARA offices and other Federal agencies to identify placement opportunities.

15. thru 20. Reserved.

PART 3. SPECIAL SELECTION PRIORITY

21. Applicability. NHH ensures that special selection priority is given to eligible surplus or displaced NARA employees who apply for NARA vacancies in the local commuting area. Selection priority is provided before any other candidate is selected from either within or outside of NARA.

22. Eligibility.

- a. **Requirements.** To be eligible for special selection priority within NARA, an employee must:
 - i. Be a displaced or surplus NARA employee as defined in subpars. 5a or e.
 - ii. Have a current performance rating of at least fully successful;
 - iii. File an application for a specific vacancy within the time frame established in the vacancy announcement. The vacancy must be at or below the grade level from which the employee is or may be separated and must not have greater promotion potential than the position from which the employee is or may be separated;
 - iv. Attach proof of eligibility (i.e., RIF separation notice, certificate of expected separation, or other equivalent certification);

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- v. Occupy a position in the same local commuting area as the vacancy; and
 - vi. Be determined by NHH to be well-qualified for the specific vacancy (see par. 23).
 - b. **Effective date of eligibility.** Eligibility begins on the earliest date NARA issues a RIF separation notice, certificate of expected separation, notice of proposed removal for declining a directed reassignment or transfer of function outside of the local commuting area, or other certification that the employee is in a surplus organization or occupation.
 - c. **Expiration of eligibility.** Eligibility expires on the earliest of:
 - i. The RIF separation date;
 - ii. The date of the employee's resignation from the agency;
 - iii. The date of separation under adverse action procedures for declining a directed reassignment or transfer of function to another local commuting area;
 - iv. The date of cancellation of the RIF notice, certificate of expected separation, notice of proposed removal for declining a directed reassignment or transfer of function outside of the local commuting area, or other certification;
 - v. The date an eligible employee receives a career, career-conditional, or excepted appointment without time limit in any agency, at any grade level; or
 - vi. The date an employee declines the offer of a career, career conditional or excepted appointment (without time limit), for which the employee has applied and has been rated well-qualified.
23. **Well-qualified determinations.** NHH determines whether eligible employees meet the definition of well-qualified employee. This determination is made for each position for which the employee applies. To be determined well-qualified, an employee must satisfy the following criteria:
- a. Meet the basic qualification standards and eligibility requirements for the position including any medical qualifications, suitability, and minimum educational and experience requirements; and
 - b. Satisfy one of the following qualifications requirements:
 - i. Meet all selective factors (where applicable) and appropriate quality ranking factor levels (when defined). Selective and quality ranking factors cannot be so restrictive that they run counter to the goal of placing displaced employees. In the absence of selective and quality ranking factors, the selecting official documents the job-related reasons the eligible employee is or is not considered to be well qualified; or
 - ii. Is rated above minimally qualified candidates in accordance with NARA's merit promotion process. A well-qualified employee need

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not be rated best-qualified but must exceed the minimum qualifications for the position.

- c. Is physically qualified, with reasonable accommodation if appropriate, to perform the essential duties of the position;
 - d. Meet any OPM-approved special qualifying conditions for the position; and
 - e. Is able to satisfactorily perform the duties of the position upon entry.
24. **Order of selection for filling vacancies from within NARA.** In general, agencies must select an employee who is eligible under CTAP before selecting any other candidate from within or outside of the agency, unless doing so would cause another employee to be separated by RIF. The exceptions are:
- a. Placement of a NARA employee through reassignment, change to lower grade, or promotion, when no employees eligible under this chapter apply;
 - b. Reemployment of a former NARA employee exercising regulatory or statutory reemployment rights;
 - c. Position changes resulting from disciplinary actions;
 - d. Temporary appointments for less than 121 days (including all extensions);
 - e. Exchange of positions between or among NARA employees, when the actions involve no increase in grade or promotion potential;
 - f. Conversion into the competitive service of an employee on an excepted appointment which confers eligibility for noncompetitive conversion;
 - g. Placement action under reduction in force (5 CFR Part 351)
 - h. Noncompetitive placement of an employee into a different position as a result of a formal reorganization, when the former position ceases to exist, and no actual vacancy results;
 - i. Assignments under the Intergovernmental Personnel Act;
 - j. The filling of a position through an excepted appointment;
 - k. Details;
 - l. Time-limited promotions of under 121 days (including extensions);
 - m. Noncompetitive movement within the local commuting area of surplus or displaced employees;
 - n. Movement of an excepted service employee within NARA;
 - o. Placement under 5 U.S.C. 8337 or 8451 to allow continued employment of an employee who has become unable to provide useful and efficient service in his or her current position because of a medical condition;
 - p. A placement that is a "reasonable offer" as defined in 5 U.S.C. 8336(d) and 8414(b);
 - q. Career ladder promotions or position changes resulting from reclassification actions (e.g., accretion of duties or application of a new position-classification standard);
 - r. Recall of seasonal employees from nonpay status;
 - s. The internal placement of an injured or disabled worker for whom NARA has identified a position in which he/she can be reasonably accommodated;

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- t. An action taken by the Archivist of the United States or his/her designee pursuant to the settlement of a formal complaint, grievance, appeal, or other litigation;
- u. An action taken to return an employee to his/her original or similar position during a supervisory probationary period;
- v. The retention of individuals whose positions are brought into the competitive service under 5 CFR sections 316.701 and 316.702 (i.e., public, private, or excepted service positions) and their subsequent conversion to career or career-conditional appointments under 5 CFR 315.701.
- w. The retention of an employee for whom OPM has approved a rule 5.1 variation;
- x. At NARA's discretion, the selection of an employee from within a component of NARA within the local commuting area, after all eligible surplus and displaced applicants of that component who are eligible under CTAP within the local commuting area have been accorded selection priority;
- y. Extensions of temporary or term actions (made after February 29, 1996), up to the full period allowed provided the original vacancy announcement specified (1) that selection priority would be afforded to well-qualified CTAP candidates, and (2) that extensions were possible without further announcement;
- z. Noncompetitive movement of displaced employees between agencies as a result of a reorganization, transfer of function, or mass transfer; and
- aa. The placement of a member of the SES under 5 U.S.C. 3594.

25. Orientation and notification of surplus and displaced employees.

- a. NHH conducts an orientation session for surplus and displaced employees on the use of career transition services and the requirements for receiving selection priority under CTAP and ICTAP. The orientation session includes information on how to apply for vacancies under CTAP and ICTAP, the documentation necessary to establish eligibility, and the availability of career transition services.
- b. NHH provides each eligible employee with written information about the special selection priority available under CTAP, guidance on applying for vacancies, and a description of the documentation required as proof of eligibility.

26. Vacancy announcements. NHH takes reasonable steps to notify eligible employees of all NARA vacancies. Vacancy announcements include information on the priority afforded to eligible employees under CTAP, how to apply, required proof of eligibility, and the requirements for being rated well-qualified for the vacancy.

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27. **Notification of CTAP applicants.** For specific vacancies in the local commuting area, NHH provides written notification to all CTAP eligible applicants on the results of their application and whether they were found well-qualified. Applicants who are not found to be well-qualified are notified in writing on the results of an independent, second review of their qualifications. If an applicant is found to be well-qualified but another well qualified applicant is selected, he/she is so notified.
28. **Selection.** Displaced and surplus NARA employees are selected before any other candidates. If two or more eligible employees apply for a vacancy and are determined to be wellqualified, any of these eligible employees may be selected. Candidates from within or outside NARA cannot be selected if eligible well-qualified displaced or surplus NARA employees are available. Temporary Help Service contracts (under 5 CFR 300, Subpart E) may not be used in lieu of appointing a surplus or displaced employee under this chapter.
29. **Qualification reviews.** Whenever an eligible employee is determined not to be well-qualified, an NHH staffing specialist who was not involved in the initial rating, or a subject-matter expert at or above the grade level of the vacancy, reviews the determination. This review is documented in the merit promotion file and the applicant is notified as described in subpar. 27.

30. thru 32. Reserved.

PART 4. REEMPLOYMENT PRIORITY LIST

33. **Reemployment Priority List (RPL) procedures.** In the event that an RPL is needed, NARA follows the guidelines outlined in 5 CFR Part 330, Subpart B.

34. thru 38. Reserved.

PART 5. INTERAGENCY CAREER TRANSITION ASSISTANCE PLAN FOR DISPLACED EMPLOYEES

39. **General.** In addition to the provisions of this CTAP for surplus and displaced NARA employees, NARA also complies with the provisions of 5 CFR 330.701 through 710 regarding the Interagency Career Transition Assistance Plan (ICTAP). ICTAP was effective on February 29, 1996, and expires on September 30, 1999, unless extended by OPM.
40. **Priority consideration.** NARA grants priority consideration and selection rights to current or former Federal employees displaced from other Federal agencies when recruiting from outside NARA's workforce. These displaced employees must.
- a. Make timely application for appropriate vacancy announcements;
 - b. Meet all requirements for the position and provide proof of eligibility;
 - c. Be in the same local commuting area as the vacancy.

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- d. Have a performance appraisal of fully successful or better;
 - e. Be or have been serving at or above the grade level of the vacancy (and the vacancy does not offer greater promotion potential); and
 - f. Be determined "well-qualified" by NARA.
41. **Procedures.** For announcement, application, selection, qualification review, notification, and documentation, NARA follows the procedures provided in Part 3 of the CTAP. Eligible employees from other agencies are considered after displaced or surplus NARA employees (see 5 CFR 330.705).
42. **Expiration of eligibility.** Eligibility for placement under ICTAP expires in accordance with 5 CFR 330.704(c). Within NARA an employee's eligibility also expires when he/she declines a career, career conditional, or excepted appointment (without time limit) for which the applicant applied and was rated well qualified or for failing to respond within a reasonable period of time to an offer or official inquiry of availability.
43. thru 49. Reserved.