



***The Library of Congress
Office of the Inspector General***



***Library Wide
Implementing an Effective Succession
Planning Program Would Help the
Library Achieve Its Strategic Goals***

*Audit Report No. 2004-PA-105
March 2005*

Memorandum*Office of the Inspector General***TO:** Distribution

March 31, 2005

FROM: Karl W. Schornagel
Inspector General**SUBJECT:** *Implementing an Effective Succession Planning Program
Would Help the Library Achieve Its Strategic Goals*
Final Audit Report No. 2004-PA-105

This transmits our final audit report on *Succession Planning* prepared by the Office of the Inspector General, Office of the Librarian. The Executive Summary begins on page i, and recommendations appear on pages 4 to 8. The recommendations apply as follows: recommendation I.1, the Librarian; recommendation I.2, Human Resources Services (HRS); recommendation II, the Strategic Planning Office (SPO) and Operations Management and Training Office, and recommendation III, all service and infrastructure units.

The responses of HRS, SPO, Congressional Research Service, and Integrated Support Services to our draft report are briefly summarized in the Executive Summary and in more detail after individual recommendations appearing on pages 4, 6, and 8. Their complete responses are attached as Appendices I through IV.

Based on HRS' and SPO's responses to the draft report, we consider recommendations I.2 and II resolved. HRS' draft, *Workforce and Succession Planning Interim Guidance*, provides a timeline that resolves recommendation I.2. SPO has communicated to the service and infrastructure units the need for establishing a human capital goal in their Annual Program Performance Plans.

We request that the Librarian and Library Services provide an action plan that addresses recommendations I.1 and III, respectively, in accordance with LCR 1519-1, Section 4.B.

We appreciate the cooperation and courtesies extended by Library staff during the audit.

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TABLE OF CONTENTS

EXECUTIVE SUMMARY.....	<i>i</i>
INTRODUCTION.....	1
BACKGROUND.....	1
OBJECTIVES, SCOPE, AND METHODOLOGY.....	2
FINDINGS AND RECOMMENDATIONS.....	3
I. The Library Needs to Formalize a Succession Planning Program.....	3
Recommendations.....	4
Management Response and OIG Comments.....	4
II. Succession Plans Should Be Linked to Strategic and Training Plans.....	5
Recommendation.....	6
Management Response and OIG Comments.....	6
III. Service Units Must Identify Critical Positions, and Consider the Impact of the Library's Hiring Process on Succession Planning.....	6
Recommendation.....	8
Management Response and OIG Comments.....	8
APPENDICES	
Response from Human Resources Services.....	10
Response from Strategic Planning Office.....	12
Response from Congressional Research Service.....	14
Response from Integrated Support Services.....	20

EXECUTIVE SUMMARY

As part of a reexamination of what the federal government should do, how it should do it, and in some cases, who should be doing it, it is important for federal agencies to focus not just on the present, but also on future trends and challenges. Succession planning and management can help an organization become what it needs to be, rather than simply to recreate the existing organization.

Leading organizations go beyond a succession planning approach that focuses only on replacing individuals and engage in broad, integrated succession planning and management efforts that focus on strengthening both current and future organizational capacity. As part of this broad approach, these organizations identify, develop, and select successors who are the right people, with the right skills, at the right time, for leadership and other key positions.

The Office of the Inspector General conducted a survey of the Library's succession planning efforts, strategies, and progress to determine whether current efforts will ensure a smooth transition to the future. We interviewed Library managers and discussed organizational transformation and ways to identify and develop leaders, managers, and a workforce necessary to face the array of challenges that will confront the Library in the 21st century.

We found that the Library's service units (with the exception of the Congressional Research Service (CRS) and Copyright Office) do not have succession plans, and have not identified critical positions to ensure the needed skills and abilities for the continuity of leadership and knowledge. Though Human Resources Services (HRS) has taken a leadership role in introducing succession planning, the Library's service units are not mandated to plan. Following our draft report, HRS issued a draft *Workforce and Succession Planning Interim Guidance* to the service and infrastructure units. HRS acquired a strategic workforce planning tool, and is undertaking several pilot programs. Therefore, we will review this topic again after HRS' pilot projects have been completed. Our findings and recommendations to date are summarized as follows:

The Library Needs to Formalize A Succession Planning Program

HRS introduced the concept of succession planning and managing human capital to effect a smooth transition of responsibilities when staff retire. Although HRS issued some guidance, senior management has not mandated that the service and infrastructure units develop succession plans. Two service units, CRS and Library Services (LS), received funding from Congress, \$724,723 and \$505,000, respectively. CRS implemented a succession plan recruitment program. Though LS received funds, it was not authorized to create new positions. Hence, it developed a career enhancement program that filled positions internally. Without the implementation of succession plans by the service and infrastructure units, the Library may not be prepared to immediately fill gaps in skill sets, leadership, and institutional knowledge that can result from a retiring workforce. We recommend that the Librarian issue a mandate for Library-wide succession planning. Also, we recommend that HRS broaden its communication channels and educate service units about new initiatives, programs, and flexibilities for shaping and developing their human capital (see page 4).

Succession Plans Should Be Linked to Strategic and Training Plans

Managers are required to develop and implement *Strategic* and *Training* plans. However, there is no Library guidance for linking succession plans to strategic and training plans. Some managers are in the process of developing succession plans without linking them to their strategic and training plans. Without linking strategic, training, and succession plans, management cannot effectively and efficiently track staffing needs, analyze skill sets, plan staff development, and monitor processes for ensuring accountability in human capital. Effective training and development programs are an integral part of a learning environment that can enhance the Library's ability to attract and retain employees with the skills and competencies needed to achieve Library goals. We recommend that the Library's mandate for succession planning require managers to link succession plans to strategic and training plans (see page 6).

Service Units Must Identify Critical Positions and Consider the Library's Hiring Process and Its Impact on Succession Planning

Succession planning involves workforce analysis. Service and infrastructure units must identify mission critical occupations and competencies needed in the current and future workforce, and develop strategies to close any gaps through a systematic process. Also, managers must be ready to hire staff when a mission critical position becomes vacant. In our total sample of 119 vacancies, 66 were deemed critical and 24 were filled. The 24 vacancies took from 9 to 314 calendar days to fill, with a median of 177 days. The Library is unable to expeditiously fill critical vacancies, which can adversely impact hiring the best applicant for a mission critical position. Currently, service and infrastructure units have not identified mission critical positions nor adequately considered the Library's lengthy hiring process to fill critical vacancies. We recommend that all service and infrastructure units identify their mission critical positions and assess their readiness for job vacancy posting (see page 8).

We received responses to our draft report from HRS, the Strategic Planning Office (SPO), CRS, and Integrated Support Services (ISS). We did not receive a response from LS. In its response to the draft report, CRS agreed with our findings and recommendations, but asserted that their succession plan was linked to their Annual Program Performance Plans (AP³s); hence, it is already linked to its strategic and training plans. Since the draft report, CRS has completed its reorganization and identified all of its critical positions. SPO agreed with the findings, but disagrees with HRS leading the Library's succession planning efforts. HRS concurs with our recommendation that it should broaden its communication channels and educate service units about new initiatives, programs, etc., related to human capital. HRS issued a draft *Interim Guidance* to the service and infrastructure units, and plans to brief the Executive Committee when the *Interim Guidance* is finalized. ISS concurred with our finding and recommendation, and is in the process of filling its critical positions. These written responses are included as an appendix to the report.

INTRODUCTION

This report presents the results of our survey of the Library's succession planning efforts. Succession planning is the development of workforce planning strategies. According to the Government Accountability Office¹ to have a good succession plan, agencies must glean what competencies they have now and determine what competencies and skills will be needed in the future to meet the agency's overall mission and goals. Human Resources Services (HRS) has taken the initiative to issue succession planning guidance. However, there is no succession planning directive, and service units are not aware of HRS assuming a leadership role in succession planning.

The Library is in a period of profound transition. The Library and its staff will undergo fundamental restructuring during the years ahead, changing how people are hired, and how the Library itself is organized. The Library is responding to the challenges of both the evolving role of the federal librarian and the needs of e-government by leading the National Digital Information Infrastructure and Preservation Program, and by beginning to assess the competencies and qualifications needed for its future workforce.

Strategic workforce planning should ensure that the Library's human capital is aligned with its current and programmatic goals and be the centerpiece of the change initiative to transform the Library. Planning and preparing an integrated approach, including training and development efforts, is key to positioning the Library to be able to address current problems and meet burgeoning demands.

BACKGROUND

Many employees have been with the Library for 30 years or more, and are very knowledgeable about the collections. However, this may become a problem in the future, because many of these employees are becoming, or are already, eligible for retirement. Finding competent employees to replace them could be difficult, and could impact the Library's vision for the 21st century of "leading the nation in ensuring access to knowledge and information and in promoting its creative use for the Congress and its constituents."

Succession planning was a high-risk area identified in KPMG's² risk analysis report dated September 20, 1999. A high priority of the Library is to reduce its arrearage in cataloging. Only personnel with the knowledge of the cataloging process can assist with arrearage reduction efforts. Hence, HRS is assisting Library Services with its human capital initiatives by piloting a program using the National Regulatory Commission's *Strategic Workforce Planning Tool (SWPT)*. It allows managers to project and analyze staff skills and skill gaps.

¹ GAO's Director of Strategic Issues testimony before the House Government Reform Subcommittee on Civil Service and Agency Organization hearing on October 1, 2003.

² KPMG LLP, an external auditor, is the U.S. member of KPMG International.

OBJECTIVES, SCOPE, AND METHODOLOGY

The Office of Inspector General began the succession planning audit in April 2004 with a survey. Our survey objectives were to ascertain if Library managers are taking measures to ensure that there are no significant skill gaps when considering expected retirements and changes to Library operations, and to determine whether the Library is identifying and using human capital flexibility tools to assist in transition efforts.

Our methodology consisted of interviewing the Deputy Librarian, the Chief of Staff, and service unit managers; reviewing pertinent statistics, Annual Program Performance Plans (AP³s), Congressional budget requests, justifications, and House and Senate reports; and assessing the Service Units' succession planning progress. We reviewed HRS' guide to workforce and succession planning, "Building the Library's Future Workforce." It contains a listing of HRS' activity in succession and workforce planning, an overview, a description of *SWPT*, workforce strategies to fill the skill gaps inclusive of current hiring flexibilities, and a workforce and succession planning template.

Additionally, we conducted a survey of the Library's mission critical positions. We provided the service and infrastructure units with a judgmental sampling of 119 vacant positions. We asked the service units to identify critical vacancies, the effective date of filling vacancies, and how the vacancies were filled; i.e., permanent, temporary, or contractor. We did not analyze the specific causes for protracted hiring. Hence, our survey results represent only the time from the retirement/resignation date to the effective date of filling vacancies.

Our survey was conducted in accordance with the *Government Auditing Standards* issued by the Comptroller General of the United States, 2003 revision, and LCR 1519.1, *Audits and Reviews by the Office of Inspector General*, October 18, 1999. We had planned to review and analyze the internal controls and policies of every service unit's succession plan, determine if each plan was based on expected workload estimations and skill sets, and if the plans incorporated a recruitment/retention plan for leadership and other key positions as identified by the service units. However, we decided to delay further audit work and issue a report based on our current fieldwork observations. Additionally, HRS had recently acquired a strategic workforce planning tool and was undertaking several pilot programs, and only one service unit (CRS) had a formalized succession plan.³ We can better analyze the effectiveness of the Library's succession planning efforts after plans are developed and implemented.

³ Copyright completed a succession plan, *Human Capital Management Plan, FY 2004-2008*, after the end of our fieldwork and draft report. It is linked to the strategic plan.

FINDINGS AND RECOMMENDATIONS

Service units and HRS recognize the challenges posed by succession such as leadership and skill gaps, and breaks in work continuity and knowledge. Despite these challenges, the Library has not adopted a succession planning program and management initiatives that adequately prepare it for the future.

HRS sponsored a human capital management forum *Workforce and Succession Planning* in November 2003 to introduce the Library to succession challenges.⁴ Planning is based on GAO principles of setting a strategic direction, conducting workforce gap analysis, formulating workforce strategies to fill the gaps, and evaluating and revising strategies. However, the Librarian needs to empower HRS to take a stronger leadership role and communicate to the service and infrastructure units how succession planning can be accomplished without additional Congressional funding. Top management must support HRS' succession planning efforts to provide criteria and expertise in overseeing a succession planning program. Also, service and infrastructure units must make it a priority to have a plan that identifies mission critical positions, considers existing time factors for hiring personnel, and links succession plans to strategic and training plans.

I. The Library Needs to Formalize A Succession Planning Program

There is no cohesive Library effort or a HRS directive for succession planning. HRS has provided succession planning guidance and forums on human capital management. The service units have gathered retirement eligibility information, but with the exception of CRS and Copyright, do not have formalized succession plans. Without a fully structured Library-wide succession planning effort, service units hire staff as vacancies occur. As a result, the Library as a whole cannot adequately ensure continuity of leadership, address transformation challenges, and implement a strategic alignment for carrying out its mission. Furthermore, there could be a gap of institutional knowledge and expertise.

HRS has researched and discussed with the Executive Committee different initiatives for succession planning, recruitment incentives, contractual arrangements, training, reassignments, etc. However, it needs a stronger leadership role, and senior level management must support its effort by making succession planning a management priority. Our interviews disclosed that service units are aware of the need for succession plans, but are unsure of how to plan without additional appropriations⁵ for staff that may, or may not, retire in the ensuing years. It is this uncertainty and the lack of a Library-wide succession planning program that has encumbered the planning process, resulting in only one service unit having a succession plan and another a draft, during our fieldwork and draft report phases. *Standards for Internal Control in the Federal Government* (GAO/AIMD-00-21.3.1), November 1999, state that effective management of an organization's workforce—its human capital—is essential to achieving results and an important part of internal control. Management should view human capital as an asset rather than a cost.

⁴ In March 2005, HRS issued a draft *Workforce and Succession Planning Interim* Guidance to the service and infrastructure units. A final report will be presented to the Executive Committee after resolution of the comments.

⁵ Copyright is the exception. Sixty-six percent of its funding is derived from public deposits.

Only when the right personnel for the job are on board and are provided the right training, tools, structure, incentives, and responsibilities is operational success possible.

HRS has focused on developing criteria for new senior level positions, analyzing Library Services cataloger positions, and providing the service units with new guidance on available programs, initiatives, and flexibilities for shaping and developing human capital within the present budgetary constraints. However, communication of these programs, initiatives, and flexibilities has not filtered down to the service units or resulted in comprehensive planning. When we interviewed service unit managers, they were not aware of HRS' succession planning initiatives or any new hiring flexibilities. Hence, HRS was not consulted. In fact, some managers expressed little desire to work with HRS to formulate a succession plan.

Service units believe funding is necessary for their succession planning efforts; however, only two service units have received funding. CRS and Library Services (LS) received \$724,723 and \$505,000, respectively, from Congress. As a succession initiative, CRS funded 15 of 23 entry-level research analysts in FY 1999 and FY 2000. Seven of the 15 analysts who separated were replaced. CRS keeps track of retired analysts, replacements, and eligible retirees. Library Services received half of its requested funding, which disallowed funding of full-time equivalent positions. Hence, money was spent for career enhancement, development, and promotion of employees internally.

Recommendations:

1. The Librarian needs to mandate a Library-wide succession planning program that empowers HRS with a strong leadership role and provides support from management.
2. HRS should broaden its communication channels and educate service units about new initiatives, programs, and flexibilities for shaping and developing their human capital.

Management Response and OIG Comment

The Strategic Planning Office (SPO) does not concur with recommendation 1. It believes that a formalized succession planning program is unnecessary since the Deputy Librarian is using the Annual Program Performance Plans (AP³s) during performance discussions with the service and support unit heads. Progress on goals and targets are reported on a semi-annual basis. We disagree with SPO's comment. Succession planning is a function of HRS and must not be done in isolation, but on a broad scale that addresses Library-wide needed skills and leadership development. CRS disagrees with being included in this recommendation since they have a succession plan that is linked to the strategic and training plans. Our recommendation is library-wide, inclusive of all service units. Hence, we affirm our recommendation.

HRS concurs with recommendation 2. In support of the recommendation, HRS states that it has made more use of the Intranet, redesigned the Employment Web Site, and expanded the use of LC Events to push information directly out to the customers rather than relying on senior management and service unit administrative staff to communicate HRS initiatives.

Additionally, HRS has taken the initiative in leading the Library's succession planning by issuing a library-wide draft, *Workforce and Succession Planning Interim Guidance*. The draft guidance outlines a process that will provide service and infrastructure units with workforce and succession planning data, and a systematic means to identify their staffing requirements each fiscal year. The *Interim Guidance* will be incorporated into an appropriate directive within one year.

We commend HRS for their action and consider this recommendation resolved.

II. Succession Plans Should Be Linked to Strategic and Training Plans

Service units are considering formal details, reassignments, cross training, and skills gap analysis in developing staff for the future. These plans comprise pieces of strategic, training, and succession planning, but are not integrated. Without linking strategic, training, and succession plans, management cannot effectively and efficiently track staffing needs, analyze skill sets, plan staff development, and monitor processes as a cohesive initiative for ensuring accountability in human capital. Effective training and development programs are an integral part of a learning environment that can enhance the Library's ability to attract and retain employees with the skills and competencies needed to achieve Library goals.

The Government Employees Training Act, as amended, 5 USC 4101-4120, 5 CFR Part 410 states that an agency should have a formal process to ensure that strategic changes are promptly incorporated in training and development efforts as well as other human capital strategies as needed. However, there is no Library requirement or emphasis on linking a succession plan to strategic and training plans.

SPO believes that the Library's improved strategic plan ensures that all service and support units address human capital activities in the AP³s. However, GAO guidance states that agencies should have a coherent overall human capital strategy, as evidenced in its strategic plan, performance plan, or separate human capital planning document; and the strategy should encompass human capital policies, programs, and practices to guide the agency. Additionally, the Library should have a specific and explicit workforce planning strategy, linked to the overall strategic plan that allows for identification of current and future human capital needs.

The Library's Strategic Plan for Fiscal Years 2004-2008 consists of a human capital management goal, the future development of the AP³s serving as the basis for detailed planning and coordination of support requirements between organizations, and the annual goals and targets as forming the basis for individual annual performance plans wherever such plans are required by management within the organization. However, the plans do not flow from the top down and from the service unit to the Library's strategic plan. A detailed succession plan should encompass the service units' goals and objectives with a link to their strategic and training plans.

Recommendation:

The Strategic Planning Office and the Office of Operations Management and Training should provide guidance and support to service and infrastructure units linking succession plans to strategic and training plans.

Management Response and OIG Comment

SPO concurs, theoretically. It believes that the Librarian should place a stronger emphasis on human capital planning by establishing a requirement for each service unit head to create a human capital goal and appropriate targets in their AP³s. We do not disagree, but believe that HRS should lead the succession planning effort. Additionally, SPO plans to review the service and support units' fiscal year 2007 AP³ objectives and/or targets associated with human capital planning. It is emphasizing the Librarian's February 10, 2005 recommendation for a larger succession planning strategy to include the expansion of employee training and development efforts. The Office of Human Resources Services, Office of Workforce Development, and the Office of Management and Training have been given the lead for this goal.

We consider this recommendation resolved.

III. Service Units Must Identify Critical Positions and Consider the Library's Hiring Process and Its Impact on Succession Planning

Service units are not identifying through a systematic process, mission critical occupations and competencies needed in the current and future workforce. Thus, the Library is missing the opportunity to expeditiously fill critical positions and undermining efforts to minimize skill gaps.

We surveyed CRS, the Copyright Office, HRS, Integrated Support Services (ISS), the Law Library, LS, the Office of Security and Emergency Preparedness, the Office of Strategic Initiatives, and the Office of Workforce Diversity on their respective vacant positions due to resignations or retirements. Our survey sample consisted of 119 vacancies from October 2003 to May 2004. Survey respondents indicated whether a position was critical, the effective fill date, and how the job was filled; i.e., permanent, temporary, or a contracted position.

The service units and infrastructures identified 66 vacancies as critical. Thirty-four positions were filled with 28 permanent employees, 3 temporary employees, and 3 contractors (shown in table 1 on the next page).

Table 1
Critical Vacancies

Library Unit	Number of Vacancies Per Unit	Number Identified as Critical	How Positions Filled		
			Permanent	Temporary	Contractor
Congressional Research Service	19	5	5		
Copyright	9(a)	1	1		
Human Resources Services	3	2	1		1
Information and Technology Services	9(b)	1			
Integrated Support Services	9	9	8	1(c)	
Law Library	4	2	1	1	
Library Services	57	37(d)	8	1	2
Office of Security and Emergency Preparedness	6	6(e)	1		
Office of Strategic Initiatives	2	2	2		
Office of Workforce Diversity	1	1	1		
Total	119	66	28	3	3

- (a) Copyright identified the remaining 8 vacancies as important and plans on filling them.
- (b) A contractor assumed duties of vacant position held by permanent employee.
- (c) Temporary position will become permanent. Vacancy filled before employee left Library.
- (d) Library Services filled seven of its 37 vacancies before or the same day of retirement or resignation.
- (e) Five of the six vacancies are police officers. The Library does not have the authority, PL 108-83, to hire officers.

Ten positions were filled either before or the same day of the employee's separation. Of the remaining 24 vacancies (refer to Figure 1 on the next page), the number of days to fill these positions from the day of retirement or resignation, ranged from 9 to 314 calendar days. Fifty percent of these vacancies were not filled for 180 days or more. Two vacancies identified as critical are on hold. Twenty-nine percent of LS⁶ critical vacancies were not filled.

Standards for Internal Control in the Federal Government (GAO/AIMD-00-21.3.1), November 1999, state that management should ensure skill needs are continually assessed so that the organization is able to obtain a workforce that has the required skills that match those necessary to achieve organizational goals.

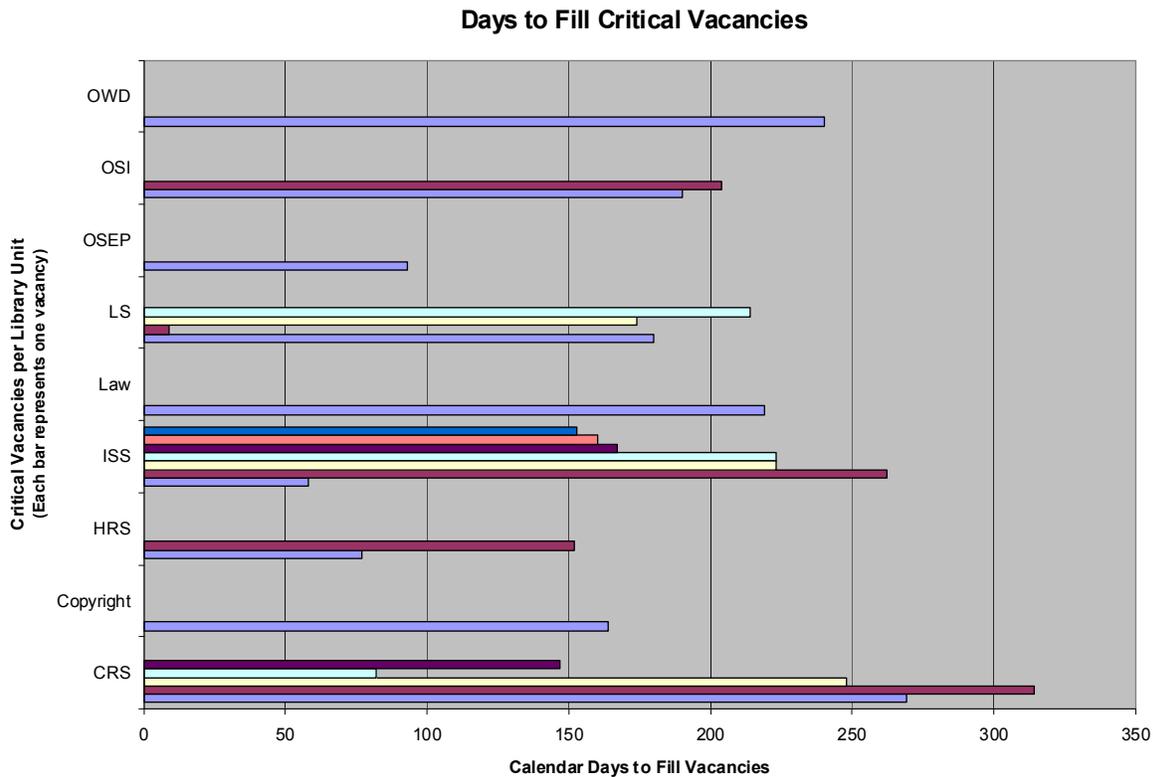
Service units have not identified all of their critical positions, and the Library's hiring system and merit selection procedures can result in a lengthy hiring process. Job analysis must be conducted before a position can be posted; therefore, not all identified critical positions are ready for posting.⁷ HRS and the service units are taking longer than originally projected to hire personnel.⁸ In September 2004, HRS issued guidance to its revised merit selection plan that allows for a less prolonged job analysis and disqualifying applicants in preliminary interviews. The guidance provides the Library with needed hiring flexibilities.

⁶ Library Services instituted a hiring freeze during fiscal year 2004.

⁷ Prior to the release of our draft report, CRS staffing needs had not been fully determined due to the reorganization of its information professionals into the Knowledge Services Group. Current staffing needs have been determined.

⁸ HRS is revising its standard from 90 days to 120 days. After extensive discussion, HRS management changed the standard to conform to the merit selection plan. Per HRS, assuming the vacancy announcement is open for 30 days, a selection would need to take place within 120 days of the opening of the announcement.

Figure 1



Recommendation:

Service and infrastructure units should identify their critical positions, analyze the required skills and staff competencies for those positions, and assess them for immediacy of posting.

Management Response and OIG Comment

HRS does not concur with our finding. It faults our conclusion, giving reasons for possible hiring lapses: redistribution of work, out-sourcing, budgetary constraints, cross-training, etc., while ignoring our stated scope limitation. HRS cites the number of GS-15 and Senior Level competitive Library-wide selections filled over the last three years without listing the periodicity for filling such vacancies or including vacancies below GS-15 as critical. However, the service units and the Special Assistant to the HRS Director selected vacancies below the GS-15 level as critical during our survey.

Since HRS' hiring standard for non-critical vacancies is 120 days, good succession planning would include the filling of critical vacancies within 120 days. Ten of 24 survey vacancies took more than 200 days to fill. The service units and HRS should strive towards filling all critical vacancies in 120 days or less. For example, OPM is able to hire Senior Level competitive selections in 30 days.

CRS disagrees with our methodology and mentions all of its vacancies. Our conclusion is based upon a sample of library-wide vacancies, not every CRS vacancy. We avow the validity of our conclusion and agree that CRS analyzes the criticality of their positions, although in our sample, 3 of its 5 positions took more than 225 days to fill.

ISS concurs and is in the process of conducting job analysis for 15-20 positions in fiscal year 2005. During fiscal year 2004, ISS planned for, and conducted, job analysis for almost 20 key positions. Additionally, ISS completed all recruitment and placement work through the merit selection process for 18 positions, many replacing temporary appointments and retirees. (See Appendix IV).

Major Contributors to This Report:

Anita Scala, Assistant IG for IT and Security Audits
Cornelia E. Jones, Auditor

Response from Human Resources Services

**APPENDIX I
(Page 2 of 2)**

2

We respectfully disagree, however, with the analysis provided on days to fill critical vacancies. Your report samples the period of elapsed time from the dates various critical vacancies emerged to the dates of replacement and then concludes that the Library cannot expeditiously fill such vacancies. In fact, there may be numerous valid reasons that specific vacancies are left open for periods of time. Service units may decide to redistribute the work, contract the work out, fill it at different grades, retrain other employees to accomplish the same goals, or be unable to post because of budgetary concerns.

HRS continues to work closely with the service units in filling critical vacancies. Over the last three years, nearly 100 GS-15 and Senior Level competitive selections have occurred. Through the revised merit selection process, service units have identified core competencies of such positions, developed benchmarks, and conducted structured interviews to select the best candidates. Our customers would agree with us that the quality of these selections is outstanding and is an important indicator that the Library values and supports succession planning.

Response from Strategic Planning Office

APPENDIX II
(Page 1 of 2)

United States Government
Memorandum

Library of Congress
Office of the Chief Financial Officer
Strategic Planning Office

Date: September 28, 2004

To: Karl W. Schornagel
Inspector General

From: Thomas M. Lambert 
Acting Strategic Planning Officer

Subject: Draft Audit Report No. 2004-PA-105

RECEIVED
SEP 28 2004
**INSPECTOR
GENERAL**

We have reviewed the draft audit report on succession planning at the Library of Congress. Having the entire audit report to read and evaluate was helpful in providing meaningful comments to your recommendations. As requested, we have provided our comments on Recommendation #2 in the attached document. In addition, we included a general comment regarding Recommendation #1 and its relationship to the planning process at the Library.

If you have any questions, please contact me (7-8851).

Attachment: Comments on Draft Audit Report (No. 2004-PA-105)

cc: John D. Webster

Response from Strategic Planning Office

APPENDIX II
(Page 2 of 2)

Attachment

Comments on Draft Audit Report (No. 2004-PA-105)
Strategic Planning Office

Audit Finding	Strategic Planning Office Comment
<p>Finding #1 - Recommendation</p> <p>The Library needs to formalize a succession planning program.</p>	<p>We do not think creating or formalizing a separate succession planning program is the answer. We think the organizational Annual Program Performance Plan (AP3) is the tool to place greater emphasis and accountability on succession planning. Since the Deputy Librarian has started using the AP3s during performance discussions with the service and support unit heads, the Library has a built-in system for reporting on progress in achieving succession planning goals and targets at the midyear and end-of-year reviews.</p>
<p>Finding #2 - Recommendation</p> <p>The Strategic Planning Office and the Office of Operations Management and Training should provide guidance and support to service units linking succession plans to strategic and training plans</p>	<p>We disagree with two of the statements on page 5, third paragraph – <i>“However, the plans do not flow from the top down and from the service unit to the Library’s strategic plan.”</i> The Library has an established management system for implementing the Strategic Plan. The first phase of this system is the preparation of the Librarian’s guidance for the upcoming plan year. The Librarian uses feedback from several sources in developing his guidance, chief among them is the Library’s Strategic Plan. This is a top down activity facilitated by the Strategic Planning Office.</p> <p>With reference to the next statement – <i>“A detailed succession plan should encompass the service unit’s goals and objectives with a link to their strategic and training plans.”</i> We submit that goals and targets should encompass a succession effort. As noted for Finding #1, the succession planning efforts should be an sub-element of strategic and annual planning.</p> <p>However, we agree with the recommendation for Finding #2. During the preparation of the Librarian’s planning guidance, we will recommend to the Librarian that he place a stronger emphasis on human capital planning by establishing a requirement for each service unit head create a human capital goal and appropriate targets in their AP3s.</p>

Response from Congressional Research Service

APPENDIX III
(Page 1 of 6)



Memorandum

October 6, 2004

TO: Karl W. Schornagel
Inspector General

FROM: Bessie E.H. Balkisswani, Associate Director
Office of Workforce Development, CRS

SUBJECT: *Implementing an Effective Succession Planning Program Would Help the Library Achieve Its Strategic Goals*
Draft Audit Report No. 2004-PA-105/September 2004

In response to your memorandum of September 21, 2004, attached are CRS's comments on the subject draft audit report. Should you need further clarification or have any questions about these comments, please let me know by contacting me on 7-8835 or by email Balkisswani@crs.loc.gov.

Attachments

cc: Daniel Mulhollan
Angela Evans

Congressional Research Service Washington, D.C. 20540-7000

Response from Congressional Research Service

**APPENDIX III
(Page 2 of 6)**

October 6, 2004

CRS'S Comments on Draft Audit Report No. 2004-PA-105/September 2004

EXECUTIVE SUMMARY

The Library Needs to formalize a Succession Planning Program

1. Recommend that the fourth sentence be revised to read: "CRS implemented a succession plan and recruitment program."
2. Recommend that the last sentence be revised to read: "We recommend that the Librarian issue a mandate for Library-wide succession planning **that excludes the Congressional Research Service that already has a formal process in place and has been implementing this for 5 years.**"

Service Units Must Identify Critical Positions and Consider the Library's Hiring Process and Its Impact on Succession Planning

Recommend that the last sentence be revised to read: "**With the exception of the Congressional Research Service that is already doing this**, all other service and infrastructure units identify their mission critical positions... ."

BACKGROUND

The reference to the Library's collections and the cataloging arrearage does not apply to all service units, yet the information in this section only focuses on these two areas. For clarification and to avoid generalizations across the Library, CRS strongly recommends that the various businesses of the Library (e.g., Copyright, Library Services, Law Library and CRS) be broken out separately in this section as well as in other sections of the audit report where similar language is used.

OBJECTIVES, SCOPE, AND METHODOLOGY

Paragraph four (4) of this section states that CRS is the only service unit with a formalized succession plan. As a result, we recommend that CRS be exempt from all the recommendations and that the recommendations be targeted to those service units that do not have a formalized succession plan (see below).

FINDINGS AND RECOMMENDATIONS

- I. **The Library Needs to Formalize A Succession Planning Program** (This recommendation should not apply to CRS since CRS already has a formal succession planning program)

CRS considers succession planning a top priority as evidenced by the initiation of its succession effort in 1997. While CRS initially received additional money from Congress to fund a small number of succession hires, CRS has accomplished subsequent succession planning goals without additional funds from Congress. And as the audit report indicates, CRS continues to have a fully functioning succession planning program. As a result, CRS should be exempt from any HRS or other efforts to educate service units as to how succession planning can be accomplished.

Page 4, Paragraph 3, 4th Sentence: Suggest revising to read: "CRS keeps track of **separations (to include retirees)**, replacements (**new hires**), and the intentions of those eligible to retire to **determine its staffing needs over a multi-year time frame.**"

Response from Congressional Research Service

APPENDIX III
(Page 3 of 6)

CRS-2

II. Succession Plans Should be Linked to Strategic and Training Plans (This recommendation should **not** apply to CRS)

CRS's succession planning is tied to the Service's strategic goals and targets as reflected in the AP³ to include its training and professional development initiatives. In addition, professional development programs and other activities are identified specifically for succession hires to include professional training (e.g. information resource training, technical training, writing, presentation skills), attendance at conferences, etc. Moreover, the Director reviews and approves all training requests to ensure alignment with the needs of the Congress. Again, the Library should focus its efforts on providing support to those service and infrastructure units that do not have a formal succession plan.

III. Service Units Must Identify Critical Positions and Consider the Library's Hiring Process and Its Impact on Succession Planning (This recommendation should **not** apply to CRS)

Given the succession planning process that CRS has used for over five years to identify critical positions, CRS does not understand why it is included under this recommendation. Under the EXECUTIVE SUMMARY, it states that "[w]e found that the Library's service units, *with the exception of the Congressional Research Service (CRS)* [emphasis added], do not have succession plans and have not identified critical positions to ensure the needed skills and abilities for the continuity of leadership and knowledge." And why was the Copyright Office excluded from this recommendation?

Table 1 - Critical Vacancies

In this table, CRS is listed as having 19 vacancies from October 2003 to May 2004. In a July 19, 2004 memorandum to Anita Scala, CRS indicated that its records reflected 32 separations as of June 30, 2004 (30 as of May 2004). (See attached copy of the memorandum and attachment) Of those 30, seven had already filled and four additional positions were in the process of being filled.

Decisions about the other vacancies listed will be made as part of CRS's regular succession planning efforts. CRS is currently in the process of completing its 2004 risk assessment to determine upcoming gaps in coverage based on anticipated retirements so that the FY 2005 staffing plan can be adjusted accordingly. In addition, as indicated in the audit report, most decisions to fill information professional vacancies will be considered after the implementation of the Knowledge Services Group. The Library is currently in the process of negotiating with CREA on that reorganization.

Figure 1 - Days to Fill Critical Vacancies

Since the critical vacancies listed in Table 1 are incorrect, the number of days to fill these vacancies would also be incorrect.

In summary, the audit report tends to generalize its findings and recommendations across the Library service units. Given the above comments, it is clear that this is not be best way to present the factual data collected during the audit that support CRS's work and its successful, continued implementation of succession planning and execution.

Response from Congressional Research Service

APPENDIX III
(Page 4 of 6)



Memorandum

July 19, 2004

TO: Anita Scala
IT and Security Audits Assistant Inspector General

FROM: Bessie E. Akisswani, Associate Director
Office of Workforce Development

SUBJECT: Filling Vacant Positions

Attached per your request is the completed chart on CRS FY 2004 separations as of June 30, 2004. As you can see, our records show a total of 32 separations compared to 19 listed on your chart.

As you know I have submitted information to Cornelia Jones about our succession hires as well as information concerning the funds Congress appropriated to CRS to support our succession initiative. Please let me know if you have questions or need additional information. I can be reached at 7-8835.

Congressional Research Service Washington, D.C. 20540-7000

Response from Congressional Research Service

APPENDIX III
(Page 5 of 6)

CRS Separations of Permanent Staff during Fiscal Year 2004
(Listing is from Oldest to Most Recent for Each Office or Division)

PP/No.	Name	Position	Grade	Section	Critical? (Yes or No)	Effective Date Position Filled?	Name
PP6 1	[REDACTED]	Technical Information Specialist	GS-12	ALD	To Be Determined (TBD)	after KSG is established.*	
PP21 1	[REDACTED]	Public Affairs Specialist	GS-07	CAC	Filled	07/26/2004	[REDACTED]
PP22 2	[REDACTED]	Public Affairs Specialist	GS-13	CAC	Filled	07/12/2004	[REDACTED]
PP25 3	[REDACTED]	Public Affairs Specialist	GS-11	CAC	This person	was a temporary hire.	
PP26 4	[REDACTED]	Social Science Analyst	GS-15	CAC	Filled	03/22/2004	[REDACTED]
PP20 1	[REDACTED]	Technical Information Specialist	GS-12	DSP	TBD after KSG	is established	
PP26 2	[REDACTED]	Social Science Analyst	GS-15	DSP	TBD after 2004 Risk Assessment	is Completed.	
PP26 3	[REDACTED]	Social Science Analyst	GS-14	DSP	TBD after 2004 Risk Assessment	is Completed.	
PP1 4	[REDACTED]	Social Science Analyst	GS-9	DSP	Filled	06/29/2004	[REDACTED]
PP5 5	[REDACTED]	Social Science Analyst	GS-13	DSP	TBD after 2004 Risk Assessment	is Completed.	
PP7 6	[REDACTED]	Social Science Analyst	GS-15	DSP	TBD after 2004 Risk Assessment	is Completed.	
PP26 1	[REDACTED]	Technical Information Specialist	GS-12	FDT	TBD after KSG	is established.	
PP1 2	[REDACTED]	Social Science Analyst	GS-9	FDT	Filled	06/21/2004	[REDACTED]
PP10 3	[REDACTED]	Information Receptionist	GS-4	FDT	Temp Hire	06/07/2004	[REDACTED]
PP12 4	[REDACTED]	Social Science Analyst	GS-9	FDT	Filled	09/13/2004	[REDACTED]
PP24 1	[REDACTED]	Secretary	GS-8	FIN	Filled	12/28/2003	[REDACTED]
PP20 1	[REDACTED]	Social Science Analyst	GS-13	G&F	TBD after 2004 Risk Assessment	is Completed.	
PP24 2	[REDACTED]	Economist	GS-12	G&F	TBD after 2004 Risk Assessment	is Completed.	
PP26 3	[REDACTED]	Social Science Analyst	GS-13	G&F	TBD after 2004 Risk Assessment	is Completed.	
PP2 4	[REDACTED]	Management Assistant	GS-8	G&F	TBD after 2004 Risk Assessment	is Completed.	
PP7 1	[REDACTED]	Library Technician	GS-7	INF	TBD after KSG	is established	
PP23 1	[REDACTED]	Supry Staff Assistant	GS-11	IRM	Filled	07/26/2004	[REDACTED]
PP24 2	[REDACTED]	Technical Information Specialist	GS-11	IRM	TBD after KSG	is established.	
PP25 3	[REDACTED]	Librarian	GS-13	IRM	TBD after KSG	is established.	
PP6 1	[REDACTED]	Editor	GS-13	LIN	Being Filled.	Posting in Process.	
PP19 1	[REDACTED]	Information Technology Spec	GS-14	LIN	Being Filled.	Posting in Process.	

Response from Congressional Research Service

**APPENDIX III
(Page 6 of 6)**

PP21 2	██████████	Information Technology Spec	GS-14	LIN	No	
PP1 1	██████████	Social Science Analyst	GS-15	RSI	TBD after 2004 Risk Assessment is Completed.	
	██████████	Supervisory Project Coordinator	GS-11	RSI	No	
PP11 3	██████████	Economist	GS-15	RSI	TBD after 2004 Risk Assessment is Completed.	
PP21 1	██████████	Project Manager Coordinator	GS-15	WRK	Being Filled. Posting in Process.	
PP4 2	██████████	Program Management Assistant	GS-9	WRK	Being Filled. Posting in Process.	

32 Total Number of FY 2004 Separations of Permanent Staff

*CRS is currently in the process of reorganizing its information professionals into the Knowledge Services Group (KSG). It is expected that the KSG will be operational in the 1st quarter of FY 2005 at which time decisions will be made about the need for additional staff.

Response from Integrated Support Services

APPENDIX IV
(Page 1 of 2)

UNITED STATES GOVERNMENT

LIBRARY OF CONGRESS

Memorandum

TO: Karl W. Schormagel
Inspector General

DATE: October 22, 2004

FROM: Mary Levering
Director, Integrated Support Services



SUBJECT: IG Audit Report – Succession Planning

The IG Audit Report No. 2004-PA-105 Section III entitled “Service Units Must Identify Critical Positions and Consider the Library’s Hiring Process and Its Impact on Succession Planning,” asks that Service and Support Units comment on Recommendation III which states:

“Service and infrastructure units should identify their critical positions, analyze the required skills and staff competencies for those positions, and assess them for immediacy of posting.”

ISS is in total agreement that effective management of the ISS workforce – our human capital – is essential to achieving necessary results in supporting all the Library’s other service and support units to meet their missions effectively and efficiently. ISS also agrees that our operational success is largely dependent on having the right personnel for the job on board, provided with the appropriate training, tools, structure, incentives, defined responsibilities, and accountability.

ISS has identified its critical positions and is in the process of making arrangements for consultant assistance to revise and update all ISS position descriptions and put them into AVUE format to facilitate the recruitment and hiring process when vacancies occur. The top priority is being given to those for which retirements are expected within the next 1 - 3 years. ISS allocated funds in FY ‘04 and again in FY ‘05 for contractor assistance in conducting systematic job analysis to identify the knowledges, skills and abilities needed for key ISS positions.

During FY ‘04 ISS planned for, and conducted, job analysis for almost 20 key ISS positions. In FY ‘05 an additional 15 - 20 positions are planned for job analysis. ISS also completed all the recruitment and placement work through the merit selection process for 18 ISS positions during FY ‘04, many of these replacing temporary appointments and others replacing retirees from those positions (see Attachment 1).

ATTACHMENT:
ISS Merit Selections - FY ‘04

cc w/copy of attachment and IG Audit Report: ISS Chiefs: Facility Services
Health Services Office
Logistics
Office Systems Services
Safety Services

File: I:\director\mlev\Audit-Succession Planning memo-04.wpd

Response from Integrated Support Services

**APPENDIX IV
(Page 2 of 2)**

**Integrated Support Services
Merit Selections during FY 2004**

	Person Selected	Position	Division	Effective Date
1.	██████████	Budget Analyst, GS-560-12	Director Office	07/12/2004
2.	██████████████████	Financial Management Specialist, GS-501-09	Director Office	10/03/2004
3.	██████████	Chief, Facility Services, GS-301-15	Facility Services	11/15/2003
4.	██████████	Head, Facility Design & Construction, GS-1640-14	Facility Services	05/03/2004
5.	██████████	CADD System Manager, GS-1001-13	Facility Services	04/04/2004
6.	██████████	Senior Interior Designer, GS-1008-12	Facility Services	12/28/2003
7.	██████████	Senior Interior Designer, GS-1008-12	Facility Services	08/08/2004
8.	██████████	Senior Interior Designer, GS-1008-12	Facility Services	09/19/2004
9.	██████████	General Engineer, GS-801-14	Facility Services	11/14/2004
10.	██████████████████	Food Service Steward, WG-7408-07	Facility Services	08/08/2004
11.	██████████	Labor Leader, WL-4741-05	Facility Services	10/31/2004
12.	██████████	Lead Laborer, WL-4741-05	Facility Services	10/31/2004
13.	██████████████████	Workers Compensation Manager, GS-0301-12	Health Services	01/07/2004
14.	██████████	Supervisory Nurse Practitioner, GS-610-13	Health Services	07/25/2004
15.	██████████████████	Chief, Office Systems Services, GS-301-15	Office Systems Services	09/17/2004
16.	██████████	Head, Printing Management Unit, GS-1654-12	Office Systems Services	01/11/2004
17.	██████████	Environmental Engineer, GS-819-13	Safety Services	03/15/04
18.	██████████	Occupational Health and Safety Manager, GS-018-13	Safety Services	05/16/04

File: I:\director\mlev\personnel\Merit Selections-04.wpd